|  |  |  |
| --- | --- | --- |
| **0** | **TAG** |  |
| **0A** | **REVISION HISTORY** | |  |  |  |  |  | | --- | --- | --- | --- | --- | | **NO** | **DATE** | **STATUS** | **REASON** | **REVISION** | | 0 | 01.07.2018 | MAJOR | INITIAL ISSUE |  | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |  |  |  |  |  | |
| **0B** | **COPYRIGHT** | TÜRCERT is registered trademark and this document is copyrighted © intellectual property of TÜRCERT. Cannot be reproduced, referenced, partially copied either in format or content without prior approved notice. |
| **0C** | **PREPARED BY** | CERTIFICATION MANAGER  SULTAN CULUM |
| **0D** | **REVIEWED BY** | MANAGEMENT REPRESENTATIVE  SULTAN CULUM |
| **0E** | **APPROVED BY** | GENERAL MANAGER  HASAN KUTLU |
| **1** | **PURPOSE** | To describe the style and format of all procedures and record forms established for use by TÜRCERT (This procedure shall be used as an example of such style and format). |
| **2** | **SCOPE** | This procedure shall apply to all documents which identify the activities and functions of TÜRCERT and shall be observed by all disciplines without exception |
| **3** | **RESPONSIBILITY** |  |
| **4** | **REFERENCES** | ISO 17021-1:2015- Clause 10: Management System Requirement For Certification Bodies.  IAF MD 5:2015- Determination Of Audit Time Of Quality And Environmental Management Systems. |
| **5** | **DEFINITIONS** | ISO 17000: 2004 Conformity Assessment -- Vocabulary and General principles |
| **6** | **PROCEDURE** |  |
|  |  |  |
| **7** | **RECORDS** |  |

1. **PURPOSE**

To ensure that quality Audits are planned to determine the extent to which the Client’s management system meets the requirements of the specific systems.

1. **SCOPE**

The planning of all audits, determining audit time for the TÜRCERT management system audits.

1. **RESPONSIBILITY**
2. **REFERENCES**
   1. ISO 17021-1:2015 Clause 9 Process requirements; Clause 9.1.4 Determining Audit Time
   2. IAF MD 5:2015
   3. IAF MD 1:2007
3. **DEFINITIONS**

**Management system certification scheme** - Conformity assessment system related to management

|  |  |  |
| --- | --- | --- |
|  |  | systems to which the same specified requirements, |
|  |  | specific rules and processes apply. |
| **Client organization** | **-** | Entity or defined part of an entity operating a |
|  |  | management system. |
| **Permanent site** | **-** | Location (physical or virtual) where a client organization |
|  |  | performs work or provides a service on a continuing |
|  |  | TÜRCERTis. |
| **Virtual Site** | **-** | Virtual location where a client organization performs work |
|  |  | or provides a service using an on-line environment, |
|  |  | allowing persons irrespective of physical locations to |
|  |  | execute process. |
| **Temporary site** | **-** | Location (physical or virtual) where a client organization |
|  |  | performs specific work or provides a service for a finite |
|  |  | period and which is not intended to become a permanent |
|  |  | site. |
| **Additional Sites** | - | A new site or group of sites that will be added to an |
|  |  | existing certified multi-site network. |
| **Multi-site Organization** | - | A multi-site organization is defined as an organization |
|  |  | having an identified central function (hereafter referred to |
|  |  | as a central office – but not necessarily the headquarters |
|  |  | of the organization) at which certain activities are |
|  |  | planned, controlled or managed and a network of local |
|  |  | offices or branches (sites) at which such activities are |
|  |  | fully or partially carried out. |
| **Audit time** | **-** | Time needed to plan and accomplish a complete and |
|  |  | effective audit of the client organization’s management |
|  |  | system. |
| **Duration of management system** |  |  |
| **Certification** | **-** | Part of audit time spent conducting audit activities from |
|  |  | the opening meeting to the closing meeting, inclusive. |

**Note**: Audit activities normally include:

1. Conducting the opening meeting
2. Performing document review while conducting the audit
3. Communicating during the audit
4. Assigning roles and responsibilities of guides and observers
5. Collecting and verifying information
6. Generating audit findings
7. Preparing audit conclusions
8. Conducting the closing meeting

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Audit day** | | | **-** | The duration of an audit day is normally 8 hours and may | | | | |
|  | | |  | not include a lunch break depending upon local | | | | |
|  | | |  | legislation. | | | | |
| **Effective number of personnel** | | | **-** |  | | | | |
|  | | |  | The effective number of personnel consists of all | | | | |
|  | | |  | personnel involved within the scope of certification | | | | |
|  | | |  | including those working on each shift. When included | | | | |
|  | | |  | within the scope of certification, it shall also include non- | | | | |
|  | | |  | permanent (e.g. contractors) and part time personnel. | | | | |
| **Risk category (QMS only.)** | | | **-** | For QMS, the provisions in this document are TÜRCERTed on | | | | |
|  | | |  | three categories, dependant on the risks posed by the | | | | |
|  | | |  | failure of the product or service of the client organization. | | | | |
|  | | |  | These categories can be considered as high, medium or | | | | |
|  | | |  | low risk. High risk activities (e.g. Nuclear, Medical, | | | | |
|  | | |  | pharmaceutical, food, construction) normally requires | | | | |
|  | | |  | more audit time. Medium risk activities (e.g. Simple | | | | |
|  | | |  | manufacturing) are likely to require the average time to | | | | |
|  | | |  | carry out an effective audit and low risk activities less | | | | |
|  | | |  | time. (Table 1). | | | | |
| **Complexity category (EMS only.)** | | | **-** | For EMS the provisions specified in this document are | | | | |
|  | | |  | TÜRCERTed on five primary complexity categories of the | | | | |
|  | | |  | nature, number and gravity of the environmental aspects | | | | |
|  | | |  | and risks of an organization that fundamentally affect the | | | | |
|  | | |  | audit time. (Table 2). | | | | |
| **Lead Auditor** | | | - | A Registered Lead Auditor who has attended an | | | | |
|  | | |  | appropriate quality awareness & auditor course. | | | | |
| **Auditor** | | | - | A Registered Auditor who has attended an appropriate | | | | |
|  | | |  | quality awareness/auditor course. | | | | |
| **Specialist Auditor** | | | - | A person who has specific knowledge/expertise of the | | | | |
|  | | |  | quality effects disciplines within the scope of the audits | | | | |
|  | | |  | and should have knowledge of quality management | | | | |
|  | | |  | system standards. | | | | |
| **Specialist** | | | - | A person who has specific knowledge/expertise of the | | | | |
|  | | |  | quality effects disciplines within the scope of the audit | | | | |
|  | | |  | and some understanding of quality management system | | | | |
|  | | |  | standards. | | | | |
| **Client** | | | - | An organisation, or part thereof, to be audited. | | | | |
| **Pre-Audit** | | | - | A visit or off site assessment undertaken to determine | | | | |
|  | |  |  | | | whether the Client's quality management system is of an | | | | |
|  | |  |  | | | assessable standard and as an aid to audit planning. | | | | |
| **Main Audit** | | | - | | | As systematic evaluation to determine if the quality | | | | |
|  | |  |  | | | management system and the quality performance it | | | | |
|  | |  |  | | | achieves conform to planned arrangements, if the | | | | |
|  | |  |  | | | system is implemented effectively and is suitable to fulfil | | | | |
|  | |  |  | | | theorganisation's quality policy and objectives. | | | | |
| **Surveillance** | | | - | | | A planned surveillance of the Client's quality Audit | | | | |
|  | |  |  | | | management | system | against | pre-determined | |
|  | |  |  | | | clauses/requirements of the relevant standard, to ensure | | | | |
|  | |  |  | | | continued compliance. | |  |  | |
| **Observation** | | | - | | | Where the auditor feels that there is a potential | | | | |
|  | |  |  | | | nonconformity, but cannot provide objective evidence to | | | | |
|  | |  |  | | | prove it (for guidance only) | |  |  | |
| **CAR** | | | - | | | Corrective Action Request. | | Written | notification to a | |
|  | |  |  | | | Client of non-compliance identified during an audit. | | | | |
|  | |  |  | | | These will be classified either major or minor. | | | | |
| **Minor CAR** | | | - | | | An isolated or sporadic lapse in the content, or | | | | |
|  | |  |  | | | implementation of the quality management system | | | | |
|  | |  |  | | | against a clause/requirement of the audit standard. | | | | |
| **Major CAR** | | | - | | | The absence or lack of implementation of a | | | | |
|  | |  |  | | | clause/requirement of the audit standard or total | | | | |
|  | |  |  | | | breakdown in complying with such a clause/requirement | | | | |
|  | |  |  | | | of the quality management system. | | |  | |

**6 PROCEDURE**

**6.1PLANNING OF THE CERTIFICATION AUDITS FOR QMS & EMS**

The certification coordinator shall begin the planning of the Stage 1 audits, Stage 2 audits, surveillance audits, close out audits and re-audits using the table 1, as a guide for audit times, once the Client and certification body has completed the enquiry, contract review, contract/estimate issue, return of the contract signed contract and the following has occurred;

1. The enquiry documentation (brochure, documentation checklist and a questionnaire have been sent to the Client
2. The questionnaire completed by the Client and returned.
3. A contract review has been completed and resources estimated and availability planned,
4. A contract, estimate, schedule of work and certification conditions sent to the client,
5. Signed contract received
6. The contract review has selected the resources and nominated a Lead Auditor to undertake the Pre-Audits and Main audits.
7. Where another auditor takes over the client for audits, then the Senior Executive shall ensure that the outgoing auditor briefs the incoming auditor on the client.
8. If the Administration Officer experiences any problems with the planning of a Stage 1 audit, Stage 2 audit, surveillance audit or re-assessment audit the TÜRCERT Certification Manager shall be informed and appropriate action taken.

**As a guide,**

* + If there are major non-compliances (corrective action requests) outstanding then the audit time on site shall be as a re-assessment visit, as detailed in the chart below.
  + If the new client has not maintained the previous certification body schedule of surveillances, then the audit time on site shall be as a re-assessment visit.
  + If there are no outstanding major non-compliances, then the audit time on site shall be a surveillance visit as detailed in the chart below
  + If the reason is that the previous certification body withdrew the certificate from the client for not maintaining the Management System to the requirements, then the certification manager will review and take appropriate decision.
  1. **TRANSFERS FROM OTHER CERTIFICATION BODY**

The TÜRCERT office shall discover the reason for the transfer request and shall comply with Relevant accreditation requirement and IAD MD2 for all transfer and if complies, then the application is processed as the certification flowchart and send:

* Application (Form application for assessment),
* Scope,
* Scope determined
* Quotation Audit planning

The client shall be asked to advise the reason for the transfer and supply TÜRCERT with all previous

Certification Body audit reports so that the audit can be planned using those reports to match the client’s requirements on depth and time of the audit.

* 1. **USE OF COMPUTER AIDED AUDITING TECHNIQUES (“CAAT”)**

To enhance audit effectiveness and efficiency, to enhance conventional audit process and to support and maintain the integrity of the audit process it may be necessary for TÜRCERT to use Computer Assisted Auditing

Techniques (“CAAT”). Such “Computer Assisted Auditing Techniques” (“CAAT”) may include, for example:

1. Teleconferencing,
2. Web meetings,
3. Interactive web-TÜRCERTed communications,
4. Remote electronic access to the management system documentation and/or management system processes.

While TÜRCERT is planned to use CAAT for an audit, the audit plan of TÜRCERT shall identify any computer-assisted auditing techniques that will be utilized. In this case, specific attention shall be given to the auditors’ ability to understand and utilize the information technologies employed by the client organization to manage its management system processes.

When CAAT is being used by TÜRCERT, it may be considered as partially contributing to the total on-site auditor time. If the percentage of remote auditing activities such as CAAT used is more than 30% of the planned on-site auditor time, then TÜRCERT shall justify the audit plan and obtain specific approval from the accreditation body prior to its implementation.

**NOTES:**

1. It is expected that this "specific approval" will initially be done on a case-by-case TÜRCERTis, but does not preclude a "blanket approval" from the accreditation body for the certification body to go over a 30% reduction once the certification body has demonstrated that its process is robust.
2. On-site auditor time refers to the on-site auditor time allocated for individual sites. Electronic audits of remote sites are remote audits, even if the electronic audit is physically carried out from another of the client organization’s premises.

Audit reports of the audits conducted using CAAT shall indicate the extent, to which CAAT has been used in carrying out the audit, and how it contributes to audit effectiveness and efficiency.

when the TÜRCERT is proposing to use CAAT for part of the audit, the application review shall include verification that the client organization has the necessary infrastructure to support this approach. Regardless of the use of CAAT, the organization shall be physically visited at least annually by TÜRCERT.

Client Records maintained by TÜRCERT shall indicate the extent to which, CAAT has been used in carrying out the audit and certification of the respective client organization.

* 1. **AUDIT TIME**

**6.5 GENERAL**

In determining the audit time TÜRCERT considers among others the following aspects:

1. Requirements of the relevant management system standard or requirements;
2. Complexity of the client’s organization and management system;
3. Technological and regulatory context;
4. Any outsourcing of any activities included in the scope of the management system;
5. Results of any prior audits;
6. Size and number of sites and multi-site considerations;
7. Risks associated with, products, processes or activities of the organization;
8. Whether the audits are combined, joint or integrated***.***

**Audit Duration**

TÜRCERT apply specific criteria for a specific certification scheme given in the specific management system standard. In certification of management systems against standards ISO 9001 and ISO 14001 the time spent by any team member that is not assigned as an auditor (i.e. Technical experts, translators, interpreters, observers and auditors-in-training) is not included into the established duration of an audit.

The audit time for all types of audits conducted by TÜRCERT includes the total time spent for audit, on-site at a client’s location, i.e., physical or virtual and time spent off-site carrying out planning, document review and for any interaction with clients and report writing.

The duration of management system audits (Initial, surveillance, recertification) by TÜRCERT is typically not less than 80% of the audit time calculated following methods described in this procedure. The onsite duration determined by TÜRCERT does not include the travel and any breaks, example: working lunch or any other break taken during the audit.

**NOTE:** The use of translators and interpreters can necessitate additional audit time for TÜRCERT.

* **AUDIT DAYS**

Tables 1 of Annexes A and B of this procedure present the average audit durations calculated by TÜRCERT in auditor man days TÜRCERTed on 8 hours per day. To comply with local legislation for lunch breaks and working hours, TÜRCERT may need to adjust the number of days, to achieve the same total number of auditing hours presented in Annexes A and B.

The number of auditor man days allocated are not reduced in the planning stages by programming longer hours per working day. Consideration can be made to allow efficient auditing of shift activities which may require additional hours in a working day.

If after the calculation the result is a decimal number, the number of days is adjusted to the nearest half day (e.g. 5.3 audit days becomes 5.5 audit days, 5.2 audit days becomes 5 audit days).

To help ensure the effectiveness of the audit, TÜRCERT also considers the composition and size of the audit team (e.g. ½ day with 2 auditors may not be as effective as a one day audit with 1 auditor or 1 audit day with one lead auditor and one technical expert is more effective than 1 auditor day without the technical expert).

* 1. **CALCULATION OF EFFECTIVE NUMBER OF PERSONNEL**

The effective number of personnel is used as a TÜRCERTis for the calculation of audit time. Consideration for determining the effective number of employees include part-time personnel and employees partially in scope, those working on shifts, administrative and all categories of office staff, repetitive processes.

The justification by which the effective number of personnel is made available for the client organization and the accreditation body’s review of assessments and upon request.

**Part time personnel and employees partially in scope**:

Dependent upon the hours worked, part time personnel numbers and employees partially in scope may be reduced or increased and converted to an equivalent number of full time personnel. (E.g., 30-part time personnel working 4 hours/day equates to 15 full time personnel.)

**Repetitive process within scope:**

When a high percentage of personnel to perform certain activities/positions that are considered repetitive (e.g. cleaners, security, transport, call centres etc.) a reduction in the number of personnel which is coherent and consistently applied in a company to company TÜRCERTis within the scope of certification is permitted.

In case of any requirement where, reduction of audit man-days is required TÜRCERTed on repetitive processes identified within the scope of certification, then TÜRCERT has the following guideline for the reduction of audit-mandays required.

1. To determine number of man-days required TÜRCERTed on number of employees, number of procedures, simple, complex, major or non-major activities and functions of the client. This is only a preliminary estimate.
2. Determine number of mandays from Table No: 1 / 2 /4 TÜRCERTed on number of employees (number of employees to be considered as given above). In case the client organization is involved in repetitive work and/or involved in a single general activity and there is high percentage of employees doing the same, simple tasks, then reduce the number of auditor days (mandays) as given in Table 1/2/4 by 30%.

However, it is ensured that mandays for persons when engaged as expert / guide are to be added after reducing by 30%. For example, for 90 number of employees, the auditor time including off-site and on-site activities for initial/certification audit i.e. audit mandays to be spent are 7. These 7 mandays can be further reduced by 30% i.e. by 2.1 mandays which will come to 4.9 mandays. These 4.9 mandays, say 5, which are to be spent by auditors for on-site activities. In case, expert(s) is/are required, their mandays shall be added to 5 mandays. The mandays of expert(s), trainee auditors or observers are however will not be considered for the reduction of audit man-days or for estimating the audit man-days required.

**Shift work employees**

TÜRCERT determines the duration and timing of the audit, which will best assess the effective implementation of the management system for the full scope of the client activities, including the need to audit outside normal working hours and various shift patterns. This shall be agreed with the client.

**Temporary unskilled personnel**

In situations where temporary unskilled personnel are employed in large numbers to replace automated processes, because of unavailability of technology, a reduction in the effective number of personnel is made only after considering the processes involved. This type of reduction is justified and records of such reduction are maintained for accreditation assessment.

1. **METHODOLOGY FOR DETERMINING AUDIT TIME 7.1 METHODOLOGY**

The methodology used as a TÜRCERTis for the calculation of audit time of management systems for an initial audit (stage 1 + stage 2) involves the utilization of the tables presented in Table 1, 2 and 3 for management systems audits.

Table 1 (for QMS) is TÜRCERTed solely upon the effective number of personnel and the level of risk, but does not provide minimum or maxim audit time.

Table 2, (for EMS) besides the effective number of personnel, is TÜRCERTed also on the environmental complexity of the organization or on occupational health and safety risks and does not provide minimum or maximum audit time.

Table 3, describes complexity categories of environmental aspects and their links with business sectors.

Table 4, describes complexity categories of quality management aspects and their examples.

Table 5, describe the mandays required for combined audits.

Using a suitable multiplier, the same tables are used as the TÜRCERTe for calculating audit duration for surveillance audits and recertification audits.

The audit time of management systems determined using the aforesaid tables shall not include the time of

“auditors-in-training”, observers or the time of technical experts.

TÜRCERT has processes that provide for the allocation of adequate time for auditing of relevant processes of the client. Experience has shown that apart from the number of personnel, the time required to carry out an effective audit depends upon other factors for QMS as well as for EMS MS. These factors are described under recertification. The audit time and justification for this determination are recorded in

“Application review form”.

This instruction lists the provisions which should be considered when establishing the amount of time needed to perform an audit. All factors shall be examined by TÜRCERT during the contract review process and after Stage 1 and throughout the certification cycle and at recertification for their potential impact on the audit duration regardless of the audit type. Therefore, the relevant tables for QMS, EMS MS which demonstrate the relationship between the effective number of personnel and complexity cannot be used in isolation. These tables provide the framework for audit planning and therefore required adjustments for the determination of audit time for all types of audits.

The starting point for determining audit time of management systems shall be identified TÜRCERTed on the effective number of personnel, then adjusted for the significant factors applying to the client to be audited, and attributing to each factor an additive or subtractive weighting to modify the TÜRCERTe figure. In every situation, the TÜRCERTis for the establishment of audit time of management systems including adjustments are recorded in the “Application review form”. TÜRCERT ensures that any variation in audit time does not lead to a compromise on the effectiveness of audits. Where the product or service realization processes operate on a shift TÜRCERTis, the extent of auditing of each shift depends on the processes done on each shift, and the level of control of each shift that is demonstrated by the client. To audit effective implementation, at least one of the shifts shall be audited. The justification, for not auditing the other shifts is documented in “Application Review form”. The reduction of audit time of management systems shall not exceed 30% of the times established from Tables 1of Annexes A and B.

* 1. **INITIAL MANAGEMENT SYSTEMS CERTIFICATION AUDITS (STAGE 1 PLUS STAGE 2)**

Determination of audit time of management systems involved in combined off-site activities should not reduce the total on-site duration of management systems audits to less than 80% of the audit time calculated from the tables following the methodology in Section 3. Where additional audit time is required for planning and/or report writing, this will not be justification for reducing the onsite duration of management system certification audits.

Table 1 and Table 2 provide a starting point for estimating the audit time of an initial audit (Stage 1 + Stage 2) for QMS, EMS respectively.

The audit time determined by TÜRCERT and the justification for the determination is recorded in the form

“Application review form”. This calculation shall include details on the time to be allocated to cover the entire scope of certification. TÜRCERT shall provide the audit time determination and the justification to the client organization as part of the TÜRCERT Certification Contract.

Certification audits may include remote auditing techniques such as interactive web-TÜRCERTed collaboration; web meetings, teleconferences and/or electronic verification of the client’s processes (see IAF MD4).

These activities shall be identified in the audit plan, and the time spent on these activities may be considered as contributing to the total duration of management systems audits. If the CAB plans an audit for which the remote auditing activities represent more than 30% of the planned on-site duration of management systems audits, the CAB shall justify the audit plan and maintain the records of this justification which shall be available to an Accreditation Body for review (see MD4).

* 1. **SURVEILLANCE**

During the initial three-year certification cycle, surveillance audit duration for a given 2), with the total amount of time spent annually on surveillance being about 1/3 of the time spent on the initial certification audit. TÜRCERT shall obtain an update of client data related to its management system as part of each surveillance audit. The planned audit time of a surveillance audit shall be reviewed at least at every surveillance and recertification audit to consider changes in the organization, system maturity, etc. The evidence of review, including any adjustments to the audit time of management systems audits shall be recorded in the Contract Review form.

* 1. **RECERTIFICATION**

The audit time of the recertification audit by TÜRCERT are calculated TÜRCERTed on the updated information of the client and is normally approximately 2/3 about the time that would be required for an initial certification audit (Stage 1 + Stage 2) of the organization if such an initial audit were to be carried out at the time of recertification (i.e. Not 2/3 of the original time spent on the initial audit). The audit time shall take account of the outcome of the system performance review. The review of system performance does not itself form part of the audit time for recertification audits.

* 1. **INDIVIDUALIZED SECOND AND SUBSEQUENT CERTIFICATION CYCLES**

For the second and subsequent cycles, the audit time is calculated like that of surveillance and recertification procedures.

* 1. **FACTORS FOR ADJUSTMENTS OF AUDIT DURATION**

The additional factors that need to be considered include, but are not limited to:

I. Increase in audit time of management systems:

* + 1. Complicated logistics involving more than one building or location where work is carried out. E.g., a separate design center must be audited.
    2. Staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently).
    3. Very large site for the number of personnel (e.g., a forest).
    4. High degree of regulation (e.g. Food, drugs, aerospace, nuclear power, etc.).
    5. The system covers highly complex processes or relatively high number of unique activities.
    6. Activities that require visiting temporary sites to confirm the activities of the permanent site(s) whose management system is subject to certification.
    7. Outsourced functions or processes.

1. Increase in audit time of management systems for QMS only:
   1. Activities considered to be of high risk (Table 4).
2. Increase in audit time of management systems for EMS only:
   1. Higher sensitivity of receiving environment compared to the typical location for the industry sector.
   2. Views of interested parties.
   3. Indirect aspects necessitating increase in audit time.
   4. Additional or unusual environmental aspects or regulated conditions for the sector.
   5. The risks of environmental accidents and impacts arising, or likely to arise, as consequences of incidents, accidents and potential emergency situations, previous environmental problems that the organization has contributed to.

IV. Decrease in audit time of management systems:

1. The client is not "design responsible" or other standard elements are not covered in the scope (QMS only).
2. Very small site for number of personnel (e.g. Office complex only).
3. Maturity of management system.
4. Prior knowledge of the client management system (e.g., already certified to another standard by the same CAB).
5. Client preparedness for certification (e.g., already certified or recognized by another 3rd party scheme). Note: if audit is conducted in accordance with IAF MD 11 this justification is invalid as the reduction will be calculated from the level of integration.
6. High level of automation.
7. Where staff includes many 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.
8. Activities considered to be of low risk (Table 4 - QMS and Table EMS 2). Low complexity activities, e.g.:
   1. Processes involving similar and repetitive activities (e.g., Service only).
   2. Identical activities of low complexity performed on all shifts with appropriate evidence of equivalent performance on all shifts.
   3. Where a significant proportion of staff carry out a similar simple function. Repetitive process within the scope (when employees perform repetitive activities).
   4. 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 audit time for an effective audit. Additive factors may be off-set by subtractive factors.

**Note 1:**Subtractive factors may be used once only for each calculation for each client organization.

**Note 2:**When calculating the audit time of integrated management systems, the requirements given in IAF MD 11 are taken.

The starting point for determining audit duration shall be identified TÜRCERTed on the effective number of personnel, then adjusted for the significant factors applying to the client to be audited, and attributing to each additive or subtractive factor, which is to modify the TÜRCERTe figure.

Factors affecting the audit duration in combined audits are described in the Table 5. The reduction of the audit duration shall not exceed 30% of time determined per Tables 1 and Table 2.

Calculation of the audit duration of integrated management systems is conducted in concordance with requirements given in “Integrated management system audit” part, described in this procedure. In this case the audit duration can be reduced by 20%.

The total reduction of the audit duration considering the above-stated factors can be not more than 50% of the normative figures. In every situation, the TÜRCERTis for determination of the audit duration, including adjustments made shall be recorded. The reasons for adjustment of the audit duration shall be written down by the certification manager in the “application review form” for all audit types.

* 1. **TEMPORARY SITES**

In situations where the certification applicant or certified client provides their product(s) or service(s) at temporary sites, such sites shall be incorporated into the audit programmes.

Temporary sites could range from major project management sites to minor service/installation sites. The need to visit such sites and the extent of sampling should be TÜRCERTed on an evaluation of the risks of the failure of the QMS to control product or service output or on an evaluation of the risks of the failure of the EMS associated with the client’s operations. The sample of sites selected should represent the range of the client’s scope of certification, competency needs and service variations having considered the sizes and types of activities, and the various stages of projects in progress and associated environmental aspects and impacts.

Typically audits of temporary sites are performed on-site. However, the following methods could be considered as alternatives to replace some on-site audits:

Interviews or progress meetings with the client and/or its customer in person;

Document review of temporary site activities;

Remote access to electronic site(s) that contains records or other information that is relevant to the assessment of the management system and the temporary site(s).

Use of video and teleconference and other technology that enable effective auditing to be conducted remotely.

In each case, the method of audit should be fully documented and justified in terms of its effectiveness.

* 1. **MULTI-SITE AUDIT DURATION**

In the case of auditing a management system operated over multiple sites, it is necessary to establish if sampling is permitted or not.

For certification of multiple sites where sampling is not permitted, the starting point for calculating audit time of the management system is the total involved on all the sites, consistent with Tables 1 and 2.

The proportion of the total time spent on each site shall consider situations where certain management system processes are not relevant to the site.

For certification of multiple sites where sampling is permitted, the audits are planned in accordance with TÜRCERT MSC Procedure 14, where the requirements to multi-site audits are in accordance with IAF I:2007. In this case the instruction given in procedure 14 will be used to select sites to be sampled prior to applying the current procedure, TÜRCERTed on IAF MD 5:2015 to each selected site. The total time should never be less than that which would have been calculated for the size and complexity of the operation if all the work had been undertaken at a single site.

* 1. **CONTROL OF EXTERNALY PROVIDED FUNCTIONS OR PROCESSES (OUTSOURCING)**

If an organization outsources part of its functions or processes, it is the responsibility of TÜRCERT to obtain evidence that the organization has effectively determined the type and extent of controls to be applied in order to ensure that the externally provided functions or processes do not adversely affect the effectiveness of the Management System, including the organization’s ability to consistently deliver conforming products and services to its customers or to control its environmental aspects and commitments to compliance with legal requirements.

TÜRCERT will audit and evaluate the effectiveness of the client's management system in managing any supplied activity and the risk this poses to the delivery of objectives, customer and conformity requirements. This may include gathering feedback on the level of effectiveness from suppliers. However, auditing the supplier’s management system is not required, considering that it is included in the scope of the organization’s management system only the control of the supplied activity, and not the performance of the activity itself. From this understanding of risk any additional audit time shall be determined.

**TABLE No 1 – QMS Guide for audit duration for Initial Audit (audit stage 1 and audit stage)**







* 1. **COMPLEXITY CATEGORIES OF ENVIRONMETAL ASPECTS**

The provisions specified in this document are TÜRCERTed on five primary complexity categories of the nature, number and gravity of the environmental aspects of an organization that fundamentally affect the auditor time. These are: -

**High:** **L**arge number of environmental aspects with significant nature and gravity (typically

manufacturing or processing type organizations with significant impacts in several of the

environmental aspects);

**Medium:** Average number of environmental aspects with medium nature and gravity (typically

manufacturing organizations with significant impacts in some of the environmental aspects);

**Low:** Small number of environmental aspects with low nature and gravity (typically organizations of

an assembly type environment with few significant aspects);

**Limited:** Very limited number of 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. Table covers

the above four top complexity categories: high, medium, low and limited. Table provides the

link between the five complexity categories above and the industry sectors that would typically

fall into that category.

TÜRCERT recognise that not all organizations in a specific sector will always fall in the same complexity category. TÜRCERT allows flexibility in its contract review procedure to ensure that the specific activities of the organization are considered in determining the complexity category. For example, even though many businesses in the chemical sector should be classified as “high complexity”, an organization which would have only a mixing free from chemical reaction or emission and / or trading operation could be classified as “medium” or even “low complexity”. TÜRCERT shall document all cases where they have lowered the complexity category for an organization in a specific sector.

Table does not cover the “special complexity” category and audit duration shall be developed and justified on an individual TÜRCERTis in these cases.

All attributes of the organization’s system, processes, and products/services shall be considered and a fair adjustment made for those factors that could justify auditor time for an effective audit. Additive factors may be offset by subtractive factors.

**7 RECORDS**