



## INSTRUCTIONS FOR DETERMINATION OF AUDIT CHARGE AND TIME (OHSAS 18001)

### 1.0. PURPOSE

To indicate man days to be spent in audits and fees to be charged with respect to audit types and company structure.

### 2.0. SCOPE

Covers the certification, surveillance, re-certification, follow up and private audits.

### 3.0. RESPONSIBLES

Audit planning responsible, lead auditors, auditors, certification manager are responsible in implementation of this process.

### 4.0. APPLICATION

#### 4.1. Time to be spent for the audit shall depend on:

- a) Related management system standards conditions,
- b) Complexity, size and number of shift,
- c) Technology and legislation context,
- d) Each exteriorly sourced activities within the management system scope,
- e) Previous audit results,
- f) Number of sites and conditions related with multiple sites
- g) Products, processes or risks related with organisation activities,
- h) Presence of combined, associated and integrated audits
- g) Location properties,
- h) Competency of organisation to correspond the EMS-OHSAS legislation and other conditions
- j) Depends on the importance and structure of environmental dimensions and OHSAS risk dimensions and significance.

#### 4.2. The starting point to determine time period to be spent in audit is the number of employees and the risk category concerned for OHS systems.

Time which spent by any team member not assigned as an auditor (ie, technical experts, translators, interpreters, observers and individuals who have audit training) does not consider as audit duration. Using translators and interpreters may require additional audit period.

For OHS audits; Audit duration of Stage 1 is going to be %30 of the total audit duration.

In determination reach effective employee number in part time personnel; Initially %50 of total number of part time personnel who performs same job, is taken. Then, it is added to the number of full time personnel and root square of total number is taken. Each decrement factor during the determination of audit duration; it is recorded on filemaker programme.

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

A= Total effective employee number

B= Number of full time personnel who performs different jobs.

C= Number of full time personnel who performs same jobs

D= Number of part time personnel who performs same jobs

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Stage 1 audit is conducted by Lead Auditor (If it is required, the audit can be conducted together with auditor). When the audit duration is calculated, complexity factor and risk category of the client would be taken into consideration.

### 4.2.1. OHS Risk Assessment Table (Customer Profile Assessment Table)– Table 2

Potential hazards and other factors	Pointing for determining score	Score
Hazardous substance	Score = 0,5 or 10 <b>5</b> Include unessential amount of hazardous substances <b>10</b> Include essential amount of hazardous substances	
Vehicle/wayfarers interaction (inclusive of forklifts)	Score = 0, 5 or 10 <b>5</b> Vehicle traffic which may interaction with personnels and others is exist but this interaction is performed in small quantities according to vehicle and people numbers fewness. <b>10</b> Forklifts or other vehicles numbers and circulation of personnels around are exist and pedestiran personnels enter to vehicle working area.	
Power plant / Generator (including rooms which elektrical panels are exist.)	Score = 0, 5 or 10 <b>5</b> In case of need, power plant, it is used. <b>10</b> It is used regularly.	
Other installments (including scaffold) or mechanic hazards	Score = 0, 5 or 10 <b>5</b> It is used in case of need. <b>10</b> It is used regularly.	
Manual handling (including occupational diseases)	Score = 0, 5 or 15 <b>5</b> Manual handling is exist but in small quantities <b>15</b> Too much manual handling is exist.	
Hazardous substance (including asbestos)	Score = 0, 5 or 15 <b>5</b> Transport, storage, carrying and other usage of hazardous substances are exist. <b>15</b> Transport, storage, carrying and other usage of hazardous substances are performed daily by specific personnels	
Atmospheric contaminants except hazardous substance	Score= 0, 2 or 5 <b>2</b> Test may be required to confirm atmospheric contaminants under critic risk level	

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(Except limited areas)	<b>5</b> Controlling respiration equipments should be used regularly because of known air pollutants are exist. (It can be used in limited areas of work place)	
Ionized or non-ionized radiation usage	Score = 0, 5 or 10 <b>5</b> Low radiation resource is exist. <b>10</b> High radiation resource is exist.	
Limited areas (AS/NZS 2865)	Score = 0,10 or 20 <b>10</b> Enterence required limited area is exist. <b>20</b> There are more than one closed areas and there are a lot of personnels work in this areas.	
Slipping, falling and staggering	Score = 5 or 20 <b>5</b> There are slipping, falling and staggering risk <b>20</b> There are more than one activites may cause slipping, falling and staggering	
Noisiness	Score = 0, 5 or 15 <b>5</b> Recorded voice level is at maximum voice level of indicated in laws <b>15</b> There is over than legal requirements level	
Enviroment temperature	Score = 0 or 5 <b>5</b> Present enviroment temperature is at discomforting level for personel.	
Below-grade work	Score = 0,10 or 30 <b>10</b> Below-grade work is only performed in case of need. <b>30</b> Below-grade work is performed regularly.	
Usage or storage of explosive goods	Score = 0, 5 or 10 <b>5</b> There is explosive goods in area. <b>10</b> Explosive goods in area are used.	
Electrical hazards	Score = 0, 2, 5 or 10 <b>2</b> Electrical equipments are used. <b>5</b> Personnel is provided to use electrical equipments if necessary. <b>10</b> Electrical equipment regularly and daily usage is present.	
Pressured enviroment	Score= 0 or 5	

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QMR

**Approved By**  
CEO

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	5 Pressured environment working is exist.	
Physical violence, threat, rough stuff and revilement	Score = 0, 2,10 or 12  2 Exposure to physical violence and rough stuff in firm.  10 Exposure to physical violence and rough stuff out of the firm.  12 Both of them are exist.	
<b>Determining total score for OHSAS Complexity criterias</b>	Low Complexity: Score = 0 - 80  Medium Complexity: Score = 81 - 115  High Complexity: Score ≥ 116	

Effective personnel numbers are based for determining personel numbers effects on audit period in OHS audits. Effective personel numbers are calculated by taking the square root of personnels who do same full time work. To reach part time effective personel numbers, firstly take %50 of total personel numbers who do same part time work, then add full time personnels numbers who do same work and take the square root of total personnels. Each reduction factor are recorded by filemaker programme to determine audit period.

$$A = B + \sqrt{\{C + (D/2)\}}$$

A= Total effective personnel numbers

B= Full time personnel numbers who do different work

C= Full time personnel numbers who do same work

D= Part time personnel numbers who do same work

Stage 1 audit is performed by lead auditor (together with auditor in case of requirement).

In OH&S audits, while audit duration is going to be calculated, the first step is to determine total number of effective employee within organization. Table-2 is used to determine complexity factor of client organization accordingly. Complexity factor determination form is to be completed for each site of client. The total OH&S audit duration of the client- whose complexity factor and effective number of personnel are determined- is calculated by Table-5-b.

On-site audit duration covers %80 of total audit duration. If an additional time would be required for planning and/or report writing, this situation is not going to be considered as decrement factor for on-site audit.

**4.3.** For certification audits; Factors which causes additional or less audit duration are summerised below.

The condition that may increase the audit time

- Complicated logistics involving more than one building, facility, individual departments etc.
- Circumstances require translator / interpreter
- Very large site for the number of personnel,

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- High degree of regulation (aerospace, nuclear power etc);
- System covers highly complex processes or relatively high number of unique activities;
- Design responsibility in products related with dimensions,
- Opinions of interested parties (public sensitivity, local rules set by local government)
- In case that night shift forms part of activities,
- More sensitivity towards the environmental effects compared to general industrial companies
- Sensitivity level of company location in terms of receiving environment (site next to sea or river , highly populated area etc.)
- Additional/extraordinary OHS dimension for sector,
- Underdeveloped management system

### Audit time reduction may be facilitated by below factors

- less sensitive products / process group in terms of OHSAS, shift workings
- preliminary information about the company (having certification for another management system )
- Too small workplace compared to number of employed
- Audit knowledge of the client (already certified in the context of a 3rd party program)
- The maturity level of the management system
- Large portion of employees having simple and similar jobs

Additional factors which have to be considered during calculation period of audit duration for integrated management system have been detailed at IAF MD-11: 2013.

**4.4.** With all the reducing factors come together, the total audit time determined for certification audit cannot be reduced more than 30% by the effect of those activities.Reduction factors and ratios are uploaded into File-maker software programme.

This reduction factor may not be used for situations where more than one operation would be realised and sites allowing sampling process which described at IAF MD-1 guideline.In that case,; applicability of all relevant requirements related with management system standards and number of limited processes realised within these kinds of sites could be justified.

**4.5-** All certification audits are performed in 2 stages. Stage 1 audit of special case groups, high and intermediate risk groups are conducted at site. Stage 1 audit is conducted at site for other risk groups in case of necessary.

**4.7-** For surveillance audits; 1/3 of the duration spent for certification audit and for recertification audits 2/3 of total audit duration, should be spent. (when this time period is determined; even if a justified reduction in certification audit is made, in surveillance and recertification audits, planning is performed by taking the time stated at audit application schedule with respect to types, as a base. If there are factors that may increase or reduce this time, it should be taken into account by the LA and

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should be recorded. In determination of surveillance audit time, organisation and the amendments in the system are considered. Ohsas complexity criteria; is considered for initial certification, surveillance and re-certification audits.

**4.8-** Planning and report writing activities, must not exceed the 20% of total time given in audit application schedule with respect to types.

NUMBER OF INSTALLATIONS EXCLUDING THE HEAD OFFICE (1)	SAMPLE SIZE FOR THE INITIAL AUDIT (2)	NUMBER OF SAMPLE FOR THE SURVEILLANCE AUDIT (3)	NUMBER OF SAMPLE FOR THE RECERTIFICATION AUDIT (4)
1-3	%100 (ALL)	ALL	ALL
4-8	2	2	2
9-12	3	2	3
13-16	4	3	4
≥17	$y=\sqrt{x}$	$y=0.6\sqrt{x}$	$Y=0.8\sqrt{x}$

Table 4. Sampling table

NOTE 1: For the multisite organisations having sites up to 4, planning is performed to investigate all sites in the initial certification and recertification audits and all sites with a certification period of 3 years in surveillance audits. In OHSAS audits conducted at multisite organisations; it is applied by using sampling method for multisite organisations as it is explained in IAF MD-1 guideline. However, if the complexity criteria of OHSAS is high, it should be planned according to table found in 4.2.2 clause. Ohsas complexity criteria; is considered in initial certification, surveillance and re-certification audits.

NOTE 2: It must be assured that the company has a centrally managed and audited EMS / OHSAS for all the sites

NOTE 3: x: the total number of organisation's site; y: number of sites which will be sampled as a base for audit.

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QMR

**Approved By**  
CEO

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## INSTRUCTIONS FOR DETERMINATION OF AUDIT CHARGE AND TIME (OHSAS 18001)

Table 5-b-1. OHSAS Audit time determination table (Voluntary Standard)

Effective Number of Personnel	Audit Duration Stage 1 and Stage 2 (days) Low, Medium and High OHS complexity (Table 1)			Effective Number of Personnel	Audit Duration Stage 1 and Stage 2 (days) Low, Medium and High OHS complexity (Table 1)		
	Low	Med	High		Low	Med	High
1-5	2.5	2.5	3	626-875	6	8.5	11
6-10	2.5	2.5	3.5	876-1175	7	10	12.5
11-15	2.5	2.5	3.5	1176-1550	8	10.5	13
16-25	2.5	3.5	4	1551-2025	8	11	13.5
26-45	3	4	5	2026-2675	8.5	11.5	15
46-65	3.5	4.5	6	2676-3450	9	12.5	16
66-85	3.5	5	7	3451-4350	10	13	17.5
86-125	4	6	8	4351-5450	10.4	13.5	18
126-175	4.5	7	9	5451-6800	11	15	19.5
176-275	5	7	10	6801-8500	12.5	16	21
276-425	5	7	10	8501-10700	13	17.5	22
426-625	6	8	10.5	>10700	Follow progression above		

Table 5-b-2. OHSAS Audit time determination table (Obligatory Standard)

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

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### 4.9 PRICING

- 1 man/day certification audit fee is minimum 1600 TL
- 1 man/day surveillance audit fee is minimum 900 TL
- Minimum audit daily charges in the agreements are 200 TL for per audit charge after 1 man/day

For instance : Audit fee for 3 audit man/day audit:

Minimum offer will be for 1 audit man/day 1600 TL, for other 2 audit man/days : 2 x 200 TL = 400 TL. Total: 2000 TL

- In case of any certification for additional standard is occurred, assessment will be %75 of the first standard fee.

For example: Pricing will be for ISO 9001.....1 audit man / day..... 1600 TL. OHSAS 18001 ... 1 audit man / day 1600 x 0, 75 = 1200 TL . TOTAL ISO 9001+ OHSAS 18001 = 2800 TL

- Charging is 200 TL for each a man/day auditor numbers over 1 man/day for each standards.

### 4.10 INTEGRATED AUDITS:

In determination of time discount at integrated audits; FR-192 Integration ratio and Time discount Determination at integrated audits form, is used. For integrated audits; prior implementation of MD-5 for each chosen site; sites that are going to be chosen as samples shall be determined according to the provisions available at MD-1 guideline. Detailed information is present at PR-09 clause number 5.6.7-6.

### 5.0. RELATED DOCUMENTS

PR-09 audit and certification procedure

PR 23 OHSAS 18001 Employee Health and Safety Audit Procedure

### 6.0. REFERENCES:

ISO/IEC 17021 and related guidelines

IAF MD 11

IAF MD 1

### 7.0 REVISION STATUS

Revision date	Revision No	Revised article	Comments
10.05.2008	0		First publishing
05.05.2009	1	4	Audit time determination table is revised

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05.05.2009	2	6	IAF MD 5 : 2009 added.
10.07.2009	3	4	The rules in audit time determination is revised
04.01.2010	4	3.0	Planning chief definition is removed , planning responsible is changed as audit planning responsible
		4.7- 4.8	The charging column in the table in article 4.7 is erased. The article 4.8 added and charges are explained in that article
25.03.2011	5	4.2	Risk table adapted to revised R40.05.
02.05.2011	06	4.8	Charging is revised.
02.12.2011	07	All clauses	Integrated with OHSAS
05.03.2012	08	2, 4.1	Factors affect the audit durations is revised.
30.05.2012	09	4.2	Information about translators and interpreters is added
24.09.2012	10	All	JAS-ANZ Procedure 02 has been added to related documents.The definition regarding OH&S audit duration has been added. It is integrated with IAF MD-5
12.11.2012	11	4.10	Clause with 4.10 clause number is added to the instruction.
08.03.2013	12	4.4	Maximum decrement period is revised.
18.09.2013	13	4.2. -4.3.- 4.7--4.10 -6.0.	It has been updated in relation with updated guideline.
28.10.2013	14	6.0.	EA 7/05 guideline has been removed from the part of Related Documets.
13.05.2014	15	4.4 – 6.0	Maksimum reduction ratio has been revised. JAS-ANZ Procedure 02 has been removed from Referenced Documents.
21.10.2014	16	4.9	Pricing has been revised.
18.08.2015	17	4.2	Stage-1 audit duration has been added.

**Prepared By**  
QMR

**Approved By**  
CEO

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<b>01.06.2016</b>	<b>18</b>	6.0	Reference is made to ISO 17021-1: 2015 Standard. Detailed information about the shift order has been defined.
<b>31.10.2016</b>	<b>19</b>	All	Information on ISO 14001 has been deleted

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QMR

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