

上海英格尔认证有限公司
Shanghai Ingeer Certification Assessment Co., Ltd

审核人天及收费标准

Audit Man-days & Fee Schedule

--- 资产管理体系 (AMS)

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审核人天表及收费标准

AMS Audit Man-days Table & Fee Schedule

---资产管理体系 (AMS)

一、收费标准如下所示 The fee schedule is shown below:

序号 No.	收费项目 Items	收费标准 fee schedule	备注 Note
1	申请费 Application Fee	*元(CNY)	
2	注册费 (含证书费) Registration fee (including certificate fee)	*×N 元(CNY) 如需加印证书, 每张证书另收费*元 If additional certificates are required, an additional charge of *CNY per certificate	N 为认证领域数 N is the Qty. of certification fields
3	注册审核费 Registration Audit Fee	*元(CNY)×人天数(man-days)	人天数见附表一 ANNEX I
4	监督审核费 surveillance audits fee	*元(CNY)×人天数(man-days)	人天数见附表一 ANNEX I
5	年金 (含标志使用费) Annuity (including logo usage fee)	*×N 元(CNY) 每年交纳一次 Paid annually	N 为认证领域数 N is the Qty. of certification fields

二、审核人天 Audit Man-days

为了策划资产管理体系审核时间, 并确定对每个申请方和获证客户实施第一阶段和第二阶段初次审核、监督审核和再认证审核所需的审核时间, 对资产管理体系认证的审核人天数进行详述。

In order to reasonably plan the audit time required to conduct the initial audit, supervisory audit and recertification audit for the applicant organization/certified client, this document details the number of auditor days for the asset management system certification.

ICAS 根据本文件附表一策划资产管理体系审核时间。

An audit man-day list is given in Annex I to this document

1. 有效人数 Effective number of personnel

有效人数包括认证范围内涉及的所有全职人员 (含每个班次的工作人员)。审核时将在场的非固定人员 (季节性人员、临时人员、分包商和合同人员) 和兼职人员也宜包括在有效人数内。

The effective number of personnel consists of all personnel (permanent, temporary, and part-time) 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) personnel.

在计算有效人数时, In calculating the effective number of personnel,

- 1) 兼职人员的数量可以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量; 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.

- 2) 如果企业由于技术和自动化水平较低, 可能雇佣大量临时的非熟练人员, 这种情况下宜适当减少这些人员的数量; If an enterprise may employ a large number of temporary unskilled personnel due to low levels of technology and automation, it is appropriate to reduce the number of such personnel in such cases;
- 3) 如果相当大一部分员工从事相似的简单职能, 或劳动密集型从事相同的简单工作的企业, 例如: 运送、流水线工作、装配线、现场值守等, 同样宜适当减少人员的数量, 雇员人数的计算可以按以下方法计算: If a significant portion of the workforce is engaged in similar simple functions, or a labor-intensive enterprise engaged in the same simple tasks, e.g., delivery, assembly line work, assembly line, on-site duty, etc., it is likewise desirable to reduce the number of personnel appropriately, and the number of employees may be calculated in the following manner:
 - 管理人员的人数+操作工人数/流水线数(从事同样劳动的流水线), 或 Number of managers + number of operators/number of assembly lines (assembly lines performing the same labor), or
 - 管理人员的人数+操作人员的人数/班组数(所有班组数从事同样的工作时适用) Number of managers + number of operators/number of shifts (applies when all shifts perform the same work)
- 4) 为使计算的审核时间充分覆盖所有的业务范围, 可能需要包括正常工作时间之外的审核或者适合倒班的工作模式。In order for the calculated audit time to adequately cover all areas of the business, it may be necessary to include audits outside of normal working hours or to accommodate shift work patterns.

2. 关键资产类别 Key asset categories

资产类别是指具有共同的特征能够区分为一组或一类资产的资产分类。(示例: 实物资产、信息资产、无形资产、关键资产、辅助资产、线性资产、信息与通信技术资产、基础设施资产与动产等)。An asset class is a categorization of assets that share common characteristics that enable them to be distinguished into a group or class of assets. (Examples: physical assets, information assets, intangible assets, critical assets, ancillary assets, linear assets, ICT assets, infrastructure assets and movable assets, etc.).

关键资产是指可能对实现组织目标产生重大影响的资产。Key assets are assets that may have a significant impact on the achievement of organizational objectives.

注 1: 资产可能是对安全、环境或绩效起关键作用的, 也可能与法律法规要求有关。

Note 1: Assets may be safety, environmental, or performance critical, or may relate to legal and regulatory requirements.

注 2: 关键资产可指为关键客户提供服务所需的资产。

Note 2: Key assets may refer to assets required to provide services to key customers.

注 3: 按照与单项资产相类似的方式, 某些资产系统也可称为“关键”资产系统。

Note 3: Certain asset systems may also be referred to as "key" asset systems in a similar manner to individual assets.

3. 审核人日 Audit Day(s)

审核人日是以每天 8 小时为基础计算。在策划阶段, 不宜通过增加每个工作日的工作小时数来减少审核人日数。Audit man-days are calculated on the basis of an eight-hour day. During the planning stage, it is not advisable to reduce the number of audit person-days by increasing the number of hours worked per working day.

如果计算后结果包括小数, 宜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)。If after the calculation, the result is a decimal number, the number of days should be 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).

4. 审核时间 Audit Time

4.1 所有类型审核的审核时间包括在客户场所的现场时间, 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。The audit time for all types of audits includes the total time on-site at a client's location and time spent off-site carrying out planning, document review, interacting with client personnel and report writing.

4.2 管理体系认证审核时间 (实施现场审核的时间) 通常不宜少于本文件附表一中计算出审核时间的 80%。Management system certification audit time (time to implement on-site audit) should typically not be less than 80% of the audit time calculated following the AMS Audit Man-days Table in Annex I to this document

注: 本部分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 time for on-site audits described in this section does not include the time used for document review implemented on-site in stage I.

4.3 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系统认证审核时间。Travel (en-route or between sites) and any breaks are not included in the on-site duration of management system certification audits.

注: 我国除香港特别行政区、澳门特别行政区、台湾地区外, 审核时间通常不包括旅途时间和午饭时间。

Note: In China, except for Hong Kong Special Administrative Region, Macau Special Administrative Region and Taiwan, the audit time usually excludes travel time and lunch time.

5. 初次认证审核 (第一阶段+第二阶段) Initial audit (Stage 1 + Stage 2)

通常情况下, 第一阶段现场审核所需的审核时间不多于初次认证审核总的现场审核时间的 30%。Typically, stage I on-site audit requires no more than 30% of the total on-site audit time for the initial certification audit.

第二阶段的审核时间通常情况下不会少于 1 个人日, 否则可能影响审核有效性。The stage II of the audit will normally take no less than one man day, otherwise the validity of the audit may be compromised.

6. 监督与再认证 SURVEILLANCE and RECERTIFICATION

对客户的监督审核时间宜与初次认证审核审核时间成比例, 每年用于监督审核的时间总量应不低于初次认证审核审核总时间的 1/3, 再认证审核的时间总量应不低于初次认证审核审核总时间的 2/3。Audit time for surveillance audits for a given organization should be proportional to the audit time spent on the initial certification audit (Stage 1 + Stage 2), with the total amount of time spent annually on surveillance being about 1/3 of the audit time spent on the initial certification audit. The audit time for the recertification audit should be calculated on the basis of the updated information of the client and is normally approximately 2/3 of the audit time that would be required for an initial certification audit (Stage 1 + Stage 2) of the organization

注: 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。

Note: The review of system performance does not itself form part of the audit time for recertification audits.

7. 调整审核时间的考虑因素 FACTORS FOR ADJUSTMENTS OF AUDIT TIME OF MANAGEMENT SYSTEMS

在调整审核时间时，还需要考虑下列因素（但不局限于这些因素）：The additional factors that shall be considered include but are not limited to:

1) 增加审核时间的考虑因素：Factors for increasing audit time

- a) 组织内同一资产类别关键资产的数量较多；Higher number of key assets in the same asset class in the organization
- b) 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；
Complicated logistics involving more than one building or location where work is carried out
- c) 员工使用多于一种的语言（需要翻译或影响审核员个人独立工作）；Staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently)
- d) 外包过程的控制程度。Degree of control over the outsourcing process
- e) 审核活动中需要访问临时场所，以确定固定场地的管理体系达到认证的要求
Temporary sites need to be visited during the audit activity to determine that the management system at the fixed site meets the requirements for certification
- f) 在资产管理方面，受法规管制的程度较高（例如金融、电力、电信、公共服务领域）
Higher degree of regulatory control in asset management (e.g., in finance, electricity, telecommunications, public services)
- g) 申请组织资产管理复杂程度较高 Higher complexity of asset management in the applicant organization

审核人天的增加需要经过审核经理评审、注册部批准。The addition of audit man-days requires review by the Audit Manager and approval by the Registration Department.

导致增加的因素可以和导致减少的因素相抵销。Factors leading to increases can be offset against factors leading to decreases

增加人天理由（必要时包括证据）应保留。The reasons for the addition of audit man-days (including evidence if necessary) should be retained.

2) 减少审核时间的考虑因素 Factors for decreasing audit time

- a) 组织的资产管理体系成熟度较高；Higher maturity of the organization's asset management system;
- b) 组织的资产管理的信息化程度较高；Higher degree of computerization of the organization's asset management;
- c) 与人员数量相比，现场很小(例如仅有综合办公区)或资产数量很少；Compared to the number of personnel, the site is small (e.g., only the office complex) or low number of assets;
- d) 申请组织已在 ICAS 进行了其他管理体系的认证；The customer already have certified by ICAS in other management system;
- e) 申请组织已获得另一个第三方认证机构基于其他合格评定体系的认证或承认；The customer has been certified or recognized by another third-party certification body base on other conformity assessment system)

在对附表一列管理体系审核时间进行调整时, 减少量不应超过 30%。When adjusting the audit time of the management system listed in Annex 1, the reduction should not exceed 30%.

即使考虑到所有因素, 对某个组织初评审核员时间总量的调整, 审核人日数不得少于附表一列的最少人日数。Even taking into account all factors, the total number of audit man-days for an organization's initial audit shall not be adjusted to be less than the minimum number of audit man-days set out in Annex I.

减少人天的理由(必要时包括证据)应予以保留。The reasons (including evidence, if necessary) for reducing man-days should be retained.

8. 临时场所 TEMPORARY SITES

临时场所是组织为在有限的时期内进行特定工作或服务而设立的, 且不会成为常设场所的场所(例如施工现场)。对临时场所的访问的必要性与抽样程度, 宜取决于体系不符合而导致产品或服务不满足需要和/或期望时的风险结果。场所样本的选择宜考虑活动的规模与类型、项目的不同进展阶段, 以便覆盖认证所覆盖的所有范围。临时场所在初审、年审和复评都应该纳入审核方案。

A temporary site is a site established by client to carry out specific work or services for a limited period of time and which will not become a permanent site (e.g. a construction site). The necessity and level of sampling for visits to temporary sites may depend on the risk outcome if the system is not compliant and the product or service does not fulfil the needs and/or expectations. The selection of the sample of sites should take into account the size and type of activity, and the different stages of progress of the project, in order to cover the full scope of what is covered by certification. Temporary site should be included in the audit programme at the time of the initial audit, surveillance audit and the recertification audit.

对于非典型的临时场所可以不进行现场审核而改为对这些临时场所所发生的活动文件进行审核, 也可以与客户组织和/或其顾客进行事前、事中或事后的会面或电话交谈, 上述评价方法必须做好记录, 确保审核有效性。

Instead of on-site audits, atypical temporary sites may be audited for documentation of activities occurring at these temporary sites, or meetings or telephone conversations may be conducted with the client and/or its customers before, during or after the event, and the above methods of evaluation must be well-documented to ensure the effectiveness of the audits.

对于典型的与资产管理有着直接的关系的临时场所, 最好进行现场审核, 但确有特殊情况, 无法进行现场审核时, 可以考虑采用以下方法代替某些现场审核:

- 与客户组织和/或其顾客进行事前、事中或事后的会面或电话交谈;
- 对临时场所的文件进行审查;
- 远程接触包含记录和信息的电子场所, 这些记录和信息与业务连续性管理体系和临时场所的审核有关;
- 通过使用视频设备、电话会议和其它技术以确保远程实施的有效审核。

On-site audits are preferred for typical temporary sites that have a direct relationship to asset management, but where there are exceptional circumstances that prevent an on-site audit, the following methods may be considered in lieu of some on-site audits:

- A meeting or telephone conversation with the client and/or its customers before, during or after the event;
- A review of documentation for temporary sites;

- Remote access to electronic premises containing records and information relevant to the audit of the business continuity management system and temporary premises;
- Implementing effective audits through the use of video equipment, teleconferencing, and other technologies to ensure remote access.

临时场所的审核人天及抽样原则可以参考 D03 《多场所企业认证作业指导书》。
The audit man-days and sampling principles for temporary premises can refer to D03 "Multi-site Enterprise Certification Practice Guide".

9. 结合审核 Combined Audit

管理体系认证的结合审核, 按照《管理体系认证的结合审核管理规定》计算审核时间。
Combined audit of management system certification, in accordance with the "Management Regulations for Combined Audit of Management System Certification" to calculate the audit time.

备注: 若计算所得注册审核费低于《认证机构公平竞争规范-管理体系认证价格暂行规定》的规定, 则按《规定》标准执行。

Note: If the calculated registration audit fee is lower than the provisions of the "Fair Competition Standards for Certification Bodies - Interim Provisions on Management System Certification Prices", it implement in accordance with this regulations

附表一：审核人天表

ANNEX I : AMS Audit Man-days Table

资产管理体系审核人天表

AMS Audit Man-days Table

有效人数 (或关键资产类别数量)* Effective Number of Personnel/ the number of key asset categories) *	初审 (第一阶段+第二阶段) initial audit (Stage 1 + Stage 2)		监督审核 surveillance audits		再认证 recertification audit	
	基准 Audit Time	最少人天 Minimum Man-day	基准 Audit Time	最少人天 Minimum Man-day	基准 Audit Time	最少人天 Minimum Man-day
1-85 (或 1-4)	6	4.2	2.0	1.4	4.0	2.8
86-125 (或 1-4)	7	4.9	2.3	1.6	4.7	3.3
126-175 (或 5-10)	8	5.6	2.7	1.9	5.3	3.7
176-275 (或 5-10)	9	6.3	3.0	2.1	6.0	4.2
276-425 (或 5-10)	10	7.0	3.3	2.3	6.7	4.7
426-625 (或 11-25)	11	7.7	3.7	2.6	7.3	5.1
626-875 (或 11-25)	12	8.4	4.0	2.8	8.0	5.6
876-1175 (或 11-25)	13	9.1	4.3	3.0	8.7	6.1
1176-1550 (或 11-25)	14	9.8	4.7	3.3	9.3	6.5
1551-2025 (或 26-65)	15	10.5	5.0	3.5	10.0	7.0
2026-2675 (或 26-65)	16	11.2	5.3	3.7	10.7	7.5
2676-3450 (或 26-65)	17	11.9	5.7	4.0	11.3	7.9
3451-4350 (或 26-65)	18	12.6	6.0	4.2	12.0	8.4
4351-5450 (或 66-95)	19	13.3	6.3	4.4	12.7	8.9
5454-6800 (或 66-95)	20	14.0	6.7	4.7	13.3	9.3
6801-8500 (或 66-95)	21	14.7	7.0	4.9	14.0	9.8
8501-10700 (或 66-95)	22	15.4	7.3	5.1	14.7	10.3
>10700 (或 95+)	遵循上述递进规律 Follow progression above					

注 Note

审核人天主要按照有效员工人数并结合关键资产类别数量进行核算：

Audit Man-days is mainly calculated based on the effective number of personnel combined with the number of key asset categories:

1:附表一中的员工人数应视为一个连续体，而不是阶梯式变化；

The number of personnel in Appendix I shall be treated as a continuum and not as a step change;
 2: 对应档位的审核人天数使用有效人数所对应的审核人天数并结合关键资产类别数量进行核算; 若客户关键资产类别数量和有效人数不在同一档时, 按照有效人数对应档位和关键资产类别数量对应档位中审核人天数较高者进行核算 (即采用就高原则)。例如: 有效人数 A, 对应审核人天数 a; 关键资产类别数量 B, 对应审核人天数 b; 若 A 和 B 不属于同一档位时, 选取 a 和 b 中审核人天数高的进行核算。

The audit man-days shall be accounted base on man-days corresponding to the effective number of personnel and combine with the number of key asset categories; if the number of key asset categories and the effective number of personnel are not in the same level, the higher number of audit man-days will be choosing (means: adopting the high principle).

For example: man-days is "a" base on effective number of personnel A, and man-days is "b" base on the number of key asset categories B. if A and B do not belong to the same level, select the higher number between "a" and "b" as final audit man-days

3: 必须划分阶段 1 和阶段 2 的审核时间, 以确保能够满足 ISO/IEC 17021 规定的初始审核(阶段 1 和阶段 2)的两个要素的目标。

The audit of Stage 1 and Stage 2 must be divided to ensure that the objectives of the two elements of the initial audit (Stage 1 and Stage 2) specified in ISO/IEC 17021 can be met.

*: “有效人数(或关键资产类别数量)”此列中, 前面数字为有效人数, 括号中为关键资产类别数量。如“1-85 (或 1-4)”中, 1-85 代表有效人数; (或 1-4) 代表客户提供的关键资产类别数量为 1~4 个。

*: In the column "Effective number of personnel (number of key asset categories)", the former is the effective number of personnel and the number of key asset categories is in parentheses. For example: "1-85 (or 1-4)", 1-85 represents the effective number of personnel; (or 1-4) represents the number of key asset categories which provided by the client.