

# 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

#### --- 合规管理体系 (CMS)

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## 审核人天表及收费标准

### CMS Audit Man-days Table & Fee Schedule

#### ---合规管理体系 (CMS)

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	1000+ (500 (N-1)) 元 1000+ (500 (N-1)) (CNY)	N 为认证领域数
2	注册费 (含证书费) Registration fee (including certificate fee)	2000 X N 元 (CNY) 如需加印证书, 每张证书另收费 50 元 If additional certificates are required, an additional charge of *CNY per certificate	N is the Qty. of certification fields
3	注册审核费 Registration Audit Fee	2400 元×人天数 2400 CNY * man-days	人天数见表 1
4	监督审核费 surveillance audits fee	2400 元×人天数 2400 CNY * man-days	ANNEX I
5	年金 (含标志使用费) Annuity (including logo usage fee)	2000 X 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

为了策划合规管理体系审核时间, 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, 特对合规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 compliance management system certification.

ICAS 根据本文件附表一策划合规管理体系审核时间

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 full-time personnel (including staff on each shift) involved within the scope of certification. When carry on the audit, It is appropriate to include in the effective personnel with non-regular staffs (seasonal, temporary, subcontractor and contract personnel) and part-time personnel presented on site.

但在计算有效人数时, But when 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、劳动密集型流水线操作工、简单装配线、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:
  - a) 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
  - b) 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. 审核时间 Audit Time

- 1) 所有类型审核的审核时间包括在客户场所现场的总时间, 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.
- 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。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.
- 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。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

## 3. 审核人天 Audit man-days

- 3.1 审核人天是以每天 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天数。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.
- 3.2 如果根据具体案例计算后的结果包括小数, 宜将其上调为最接近的半人天数, 例: 将 5.2 个审核人天调整为 5.5 个审核人天, 5.7 个审核人天调整为 6.0 个审核人天)。If after the calculation for the specified certification, the result is a decimal number, the number of days should be adjusted to the nearest half day (e.g.: 5.2 audit days becomes 5.5 audit days, 5.7 audit days becomes 6.0 audit days).

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

根据拟审核客户的体系认证领域, 按照附表一确定的基准审核时间, 可根据客户合规管理的复杂程度及风险

程度, 对基准审核时间进行调整, 但减少量不应超过 30%。Depending on the scope of system certification of the client to be certified, the baseline audit time determined in accordance with Annex I may be adjusted according to the complexity and risk level of the client's compliance management, but the reduction should not exceed 30%.

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) 组织如果属于合规高风险发生地区; The organization belongs to a high risk occurrence area for compliance;
- b) 组织所属行业为合规高风险发生行业; The organization belongs to an industry which with risk for compliance;
- c) 组织的合规体系覆盖了高度复杂的过程或相对数量大的彼此不同的活动, 涉及合规义务较复杂; The compliance system in organization covers highly complex processes or a relatively large number of different activities that involve complex compliance obligations;
- d) 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; The organization's work is carried out in more than one building or location and complex logistical arrangements are required for the audit;
- e) 雇员使用多种语言(需要翻译或妨碍单个审核员独立工作); Staff speaking in more than one language (requiring interpreter(s) or preventing individual auditors from working independently)
- f) 复杂的工作条件, 涉及到不止一项活动或一处工作地点; Complex working conditions involving more than one activity or duty station
- g) 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
- h) 外包过程的控制程度; Degree of control over the outsourcing process
- i) 工作现场范围很大; The scope of the working site is large

注 Note:

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

增加人天的理由应予以记录保留, 必要时应留下证据或经管理人员复核批准

The reasons for the addition of audit man-days should be recorded and retained. If necessary, evidence should be retained or approved by the managers after review.

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

- a) 体系覆盖的业务活动过程较简单, 涉及到单一的基本活动, 简单的合规义务;  
The system covers a simpler process of business activities, involving a single basic activity, simple compliance obligations
- b) 对组织体系的前期了解(如组织已按其它标准被同一机构认证); Prior knowledge of the organization's system (e.g. if the organization is already accredited to another standard by the same body)
- c) 相对雇员数量少、工作现场小(如只有综合办公楼); Compared to the number of personnel, the site is small (e.g., only the office complex);
- d) 客户为认证所作的准备(如组织已获另一个第三方机构认证或承认); Client's preparation for certification (e.g. the organization has been certified or recognized by another third party body)
- e) 成熟的管理体系(或已取得我机构认可的 QMS/EMS/OHSMS/FSMS/HACCP/ABMS 等领域的认证证书); Mature management system (or have obtained certification in the field of QMS/EMS/OHSMS/FSMS/HACCP/ABMS etc. recognized by ICAS);

即使考虑到所有因素, 对某个组织初评审核时间总量的调整, 审核人天数应不得少于附表一中所列的最少人天数。

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.

## 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宜少于 0.5 个审核人天，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 should not be less than 0.5 man-day and not 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 个人天，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. 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。若组织的一体化程度成熟度高，酌情减少审核人天，但最多减少量不得多于 20%。

Combined audit of management system certification, in accordance with the "Management Regulations for Combined Audit of Management System Certification" to calculate the audit time. If the organization has a high level of integration maturity, reduce the number of man-days as appropriate, up to a maximum of 20%.

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

## 8. 多场所 MULTISITES

### 8.1 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。临时场所在正审、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发生活动的文件规定进行审核,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.

对于典型的与合规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:

- 1) 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;
- 2) 对临时场所的文件进行审查;
- 3) 远程接触包含记录和信息的电子场所,这些记录和信息与合规管理体系和临时场所的审核有关;
- 4) 通过使用视频设备、电话会议和其它技术以确保远程第实施有效审核。
- 5) 临时场所的审核人天基准,见附表 2。

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:

- 1) A meeting or telephone conversation with the client and/or its customers before, during or after the event;
- 2) A review of documentation for temporary sites;
- 3) Remote access to electronic premises containing records and information relevant to the audit of the business continuity management system and temporary premises;
- 4) Implementing effective audits through the use of video equipment, teleconferencing, and other technologies to ensure remote access.
- 5) Audit man-days basic for temporary sites, see detail in Annex II

## 8.2 多场所 Multi-sites

多场所的认定与确认、多场所审核方法的确认、多场所抽样、多场所的审核与认证(审核方案、审核时间等),详见 D03《多场所组织审核认证作业指导书》

Identification and confirmation of multi-site, confirmation of multi-site audit method, multi-site sampling, multi-site audit and certification (audit programme, audit time, etc.), please refer to D03 "Directory Book for the Audit and Certification of Management System Operated by a Multi-Site Organization" for details.



附表 1 Annex I

合规管理体系审核人天表 Audit Man-days for CMS							
有效人数 Effective staff		低风险行业 Low risk Technical Sectors		中风险行业 Medium risk Technical Sectors		高风险行业 High risk Technical Sectors	
		基准 Basic	最少人天 Min.	基准 Basic	最少人天 Min.	基准 Basic	最少人天 Min.
初审（第一阶段+ 第二阶段） Initial Audit (Stage 1 + Stage 2)	1-500	2.0	1.5	2.5	2.0	3.0	2.5
	501-2000	3.0	2.0	4.0	3.0	5.0	3.5
	2001-5000	4.0	3.0	5.0	3.5	6.0	4.5
	5001 and above 5001 及以上	6.0	4.5	7.0	5.0	8.0	6.0
监督审核 Surveillance	1-500	1.0	1.0	1.0	1.0	1.0	1.0
	501-2000	1.0	1.0	1.5	1.0	2.0	1.5
	2001-5000	1.5	1.0	2.0	1.5	2.5	1.5
	5001 and above 5001 及以上	2.0	1.5	2.5	2.0	3.0	2.0
再认证 Re-certification	1-500	1.5	1.0	2.0	1.5	2.5	1.5
	501-2000	2.0	1.5	3.0	2.0	3.5	2.5
	2001-5000	3.0	2.0	3.5	2.5	4.0	3.0
	5001 and above 5001 及以上	4.0	3.0	5.0	3.5	5.5	4.0

注：行业风险等级详见《合规管理体系（CMS）认证业务范围表》

Note: risk levels are detailed in “the Compliance Management System (CMS) Certification Business Scope Form”

附表 2 Annex II

### 临时场所审核人天表 Audit man-days for temporary sites

有效人数 Effective staff	初审（第一阶段+第二阶段） Initial Audit (Stage 1 + Stage 2)		监督审核 Surveillance		再认证 Re-certification	
	基准 Basic	最少人天 Min.	基准 Basic	最少人天 Min.	基准 Basic	最少人天 Min.
1-5	1.05	0.53	0.35	0.18	0.70	0.35
6-10	1.40	0.70	0.47	0.23	0.93	0.47
11-15	1.75	0.88	0.58	0.29	1.17	0.58
16-25	2.10	1.05	0.70	0.35	1.40	0.70
26-45	2.80	1.40	0.93	0.47	1.87	0.93
46-65	3.50	1.75	1.17	0.58	2.33	1.17
66-85	4.20	2.10	1.40	0.70	2.80	1.40
86-125	4.90	2.45	1.63	0.82	3.27	1.63
126-175	5.60	2.80	1.87	0.93	3.73	1.87
176-275	6.30	3.15	2.10	1.05	4.20	2.10
276-425	7.00	3.50	2.33	1.17	4.67	2.33
426-625	7.70	3.85	2.57	1.28	5.13	2.57
626-875	8.40	4.20	2.80	1.40	5.60	2.80
876-1175	9.10	4.55	3.03	1.52	6.07	3.03
>1175	依次类推 and so on	依次类推 and so on	依次类推 and so on	依次类推 and so on	依次类推 and so on	依次类推 and so on