CERTIFICATION & INSPECTION

QSI.TL.04

Revision 18 / 10.01.2020

Instruction on Calculation of Inspection Period

CONTENTS

1. PURPOSE

The purpose of this instruction is to determine the number of man/day to be spent for inspections, considering the inspection types and the organizational structure.

2. SCOPE

This instruction covers ISO 9001, ISO 14001, ISO 45001, ISO 27001 and ISO 50001 Certification, surveillance, re-certification, follow-up and special inspections.

3. DEFINITIONS

Permanent Site; The physical or virtual location where an organization regularly conducts its business or provides its services

EnMS Site; Where no site identification is applicable (e.g. for services), the scope of certification includes the provision of services as well as the organization's activities at its headquarters. Where relevant, QSI may decide that it is necessary to conduct the certification inspection at the point where the inspected body offers its services and to identify and inspect its head office.

Temporary Site; A site (for example, a construction site) established by the organization to perform a specific job or provide a service for a limited period of time and which should not be a permanent site. If temporary sites constitute important energy use and energy consumption elements of an organization, these sites are included in the EnMS inspection.

Multi-site Organization; An organization consisting of a defined central function (shall be hereinafter referred to as the head office) consisting of a network of sites (permanent, temporary or virtual) where a single management system is implemented, and where certain activities are planned, controlled and carried out partially or wholly.

A multi-site organization does not have to be a unique legal entity, but all sites must have a legal or contractual link with the head office and a common EnMS. The EnMS should be established, implemented, maintained and subject to continuous surveillance inspections by the certification body and internal inspections scheduled by the head office. The head office should have the authority to require sites to implement corrective actions when necessary.

EXAMPLE: Organizations working through dealers and agents; manufacturing companies with networks of sales offices; manufacturing companies with similar processes or significant energy uses; multi-site service companies offering similar services, companies with multiple branches.

Central Function; Function that is responsible for and centrally manages the management system

Note: The central function is the function in which the authority and responsibility of the senior management on each site is exercised.

Virtual Site; An online environment that allows people to perform processes even if they are in different physical locations.

Note 1: An example of such a virtual site is a design and development organization with all employees working remotely via the Cloud system.

Note 2: Sites where processes must be carried out in a physical environment cannot be virtual sites. (Warehousing, production, physical testing laboratories, installation or repair of physical products, etc.)

Primary Process; A process directly related to the product or service, where any failure directly affects compliance with the purposes of the applicable normative documents. Core or value generating processes.

Secondary Process; Support processes that do not directly affect compliance with the purposes of applicable normative documents.

Additional Site; A new site or group of sites added to a certified multi-site network.

4. REFERENCE DOCUMENTS

4.1. Forms

4.2. Other Documents

- QSIPRO Software
- TURKAK R 40.01 Guide
- IAF ID1
- IAF MD1 – Inspections for Multiple Addresses
- IAF MD19 – Inspection and certification of the management system managed by the multi-site organization (when sampling is not possible)
- IAF MD2 – Transfer Inspections
- IAF MD5 – Calculation of Number of Days
- IAF MD11 – Integrated Inspections
- IAF MD22 - Application of 17021-1 for the Certification of OH&SMS
- ISO 27006 Requirements for organizations that inspect and certify information security management systems
- ISO 50003 Energy management systems – Requirements for organizations providing inspection and certification of energy management systems
- PRO.10 System Certification Procedure

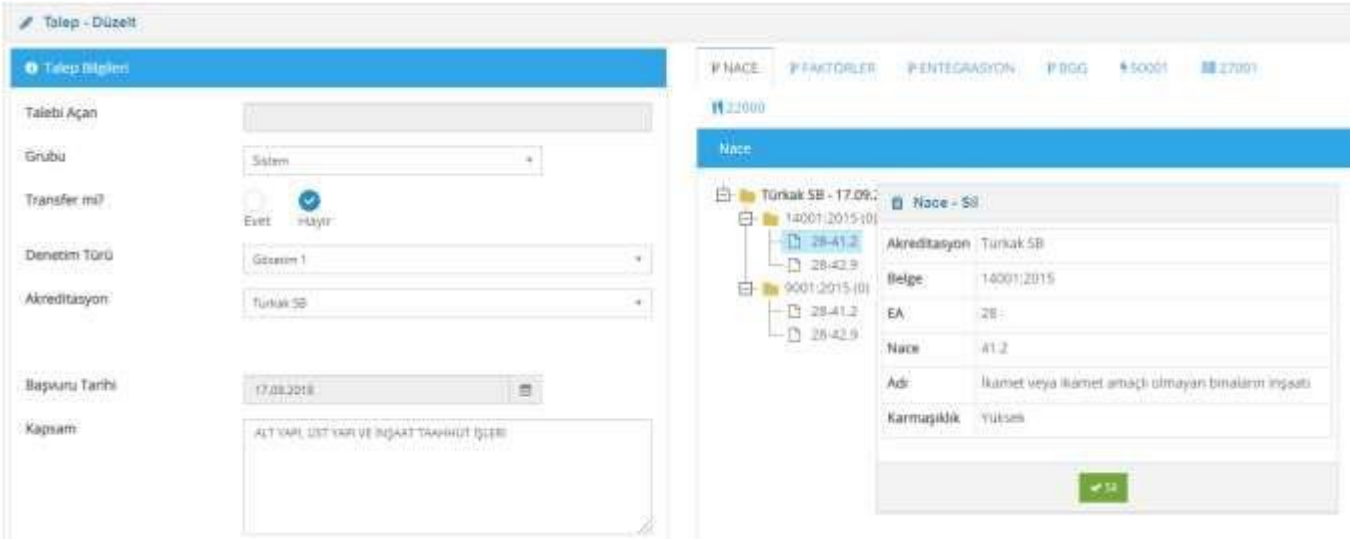
5. IMPLEMENTATION

Reference is made to IAF MD 5 Guidelines for calculations of periods for ISO 9001 QMS and ISO 14001 EMS Inspections, IAF MD 1 Guidelines for Multi-site Inspections, IAF MD 11 for Integrated

Inspections, MD2 for Transfer Inspections, ISO 27006 for ISO 27001 ISMS Inspections, ISO 50003 for ISO 50001 EnMS Inspections, and IAF MD22 for ISO 45001 OHS Inspections.

The following common rules are applied for all standards within the scope of this instruction;

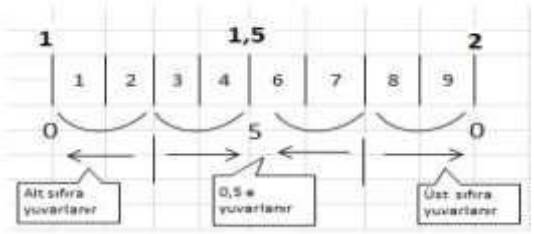
✓ In QMS & EMS & OHS Inspections, the scope code is determined according to the IAF ID 1 and TURKAK R 40.01 guidelines. In EnMS Inspections, the scope code is determined according to the TURKAK R 40.01 guidelines. The Scope Code of the relevant scope for the activity to be certified is determined through the QSIPRO software. If the customer has more than one code, the codes with the highest risk / complexity category are taken as reference according to the customer's field of activity. While determining the scope code, the main field of activity of the customer is taken into account.



✓ Total Inspection Period is the sum of On Site Inspection Period and Off Site Inspection Period.

TOTAL INSPECTION PERIOD (A)	
B= On Site Inspection Period (Min) (Inspection Period * 80%) • Opening meeting • Document review during inspection • Communication during inspection • Assigning the roles of guides and observers • Gathering and verifying information • Identifying inspection findings • Preparing inspection results • Conducting the final sitting **In Initial Certification Stage 1 =B*30%, Stage 2 = B*70%**	C= Off Site Inspection Period (Inspection Period * 20%) • Planning • Communication with the customer • DF Closures • Committee review • Document Printing • Other works

- ✓ In case of additional time requirements for the off site inspection, this period is in no way deducted from the on site inspection period.
- ✓ For inspectors, 1 man/day consists of 8 hours. Activities such as meals and transportation between construction sites are not included in this period.
- ✓ Stage 2 surveillance and recertification inspections cannot be less than 1 day.
- ✓ Time spent by any team member not appointed as an inspector (i.e., technical experts, translators, interpreters, observers, and those who received inspection training) is not considered as inspection time.
- ✓ Remote inspections (web meeting, conference …) can never be scheduled for more than 50% of the on site inspection period. If scheduled for more than 30%, its reason is recorded in the QSIPRO software.
- ✓ The duration of the Stage 2 inspection can be changed in the light of the information obtained in the Stage 1 inspection.
- ✓ For recertification inspections, the client's system performance review does not form part of the total inspection period.
- ✓ QSI ensures the effectiveness of the inspection, taking into account the integrity and largeness of the inspection team. (for example, it would be preferable to inspect with 1 inspector for 1 day instead of inspecting with 2 inspectors for half a day)
- ✓ If the inspection period after calculation is in decimals, it is rounded to the nearest half (1.3 days becomes 1.5, 1.2 becomes 1. 1.25 days will become 1.5).



5.1. ISO 9001 & ISO 14001 & ISO 45001 INSPECTIONS

5.1.1. Determining the Number of Effective Employees

The starting point for determining the time to be spent on the inspection is the number of employees in the organization. The necessary information is obtained from the applicant organization with the System Certification Application Form and recorded in the QSIRO software by the Certification Manager.

The number of effective employees calculated according to the method below is recorded in the Number of Employees section of the QSIPRO Request Screen.

When determining the number of effective employees, it is acted according to the IAF MD1 document. The number of effective employees consists of all full-time personnel working within the scope of certification, including those working in each shift. Non-permanent (seasonal, temporary, subcontracted, contracted) personnel and part-time personnel are also included in the effective number.

The number of effective employees is calculated with the following formula;

A= B + (C / (D-1))

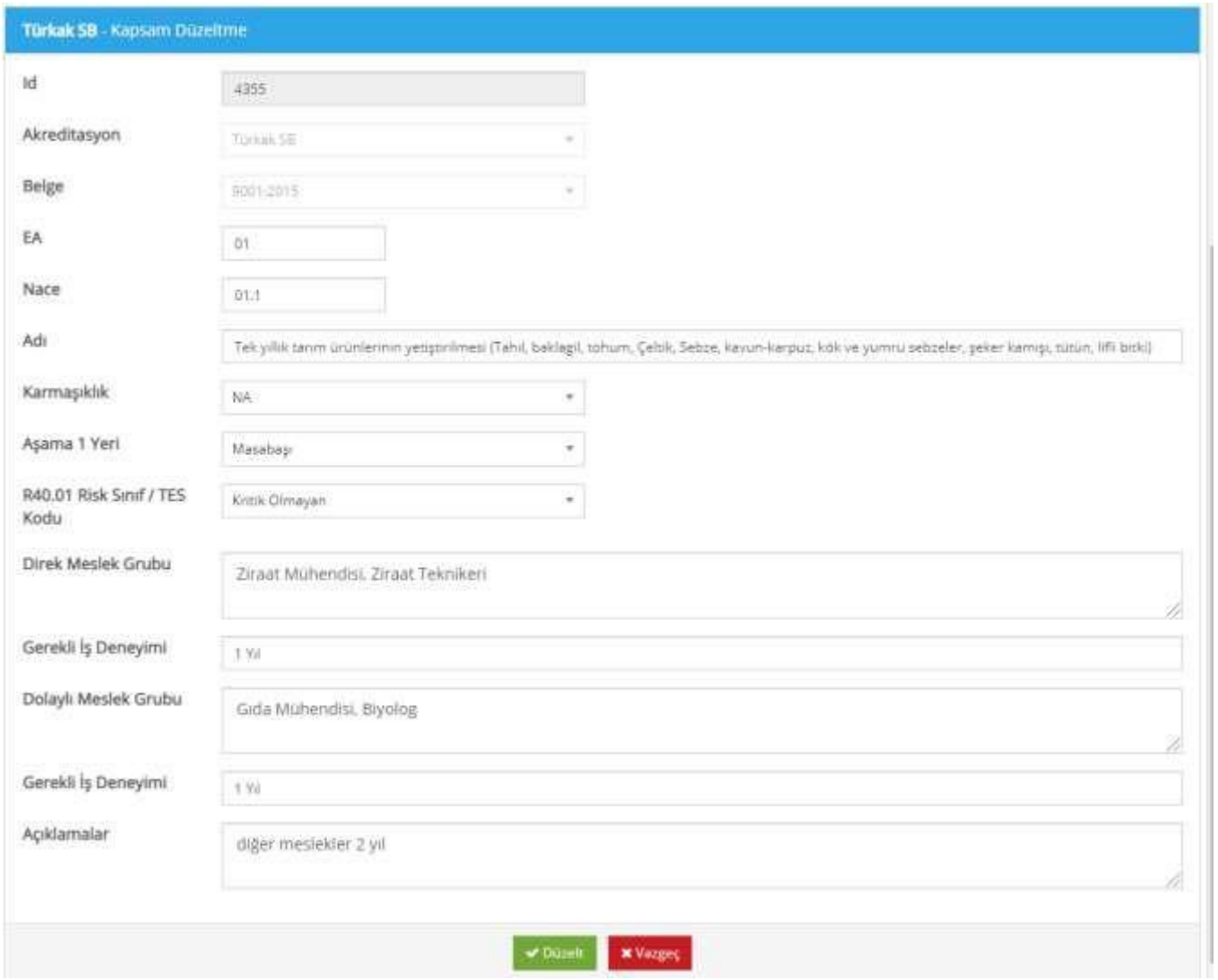
A = Total number of effective employees
B = Number of non-shift employees + Number of part-time employees (converted to full time according to 8 hours of working time) + Number of non-permanent employees
C = Number of shift employees
D= Number of shifts

In ISO 45001 inspections, all employees in the shift are included in the number.

In seasonal activities (e.g. harvesting activities, resorts and hotels, etc.) the calculation of the number of effective personnel is determined by considering the peak season.

5.1.2. Identification of Risk Class and Complexity Category

The Risk Classes are determined according to TURKAK R 40.05 Guidelines, and the Complexity Category is determined for each NACE code according to the IAF MD 5 document and defined in the QSIPRO software.



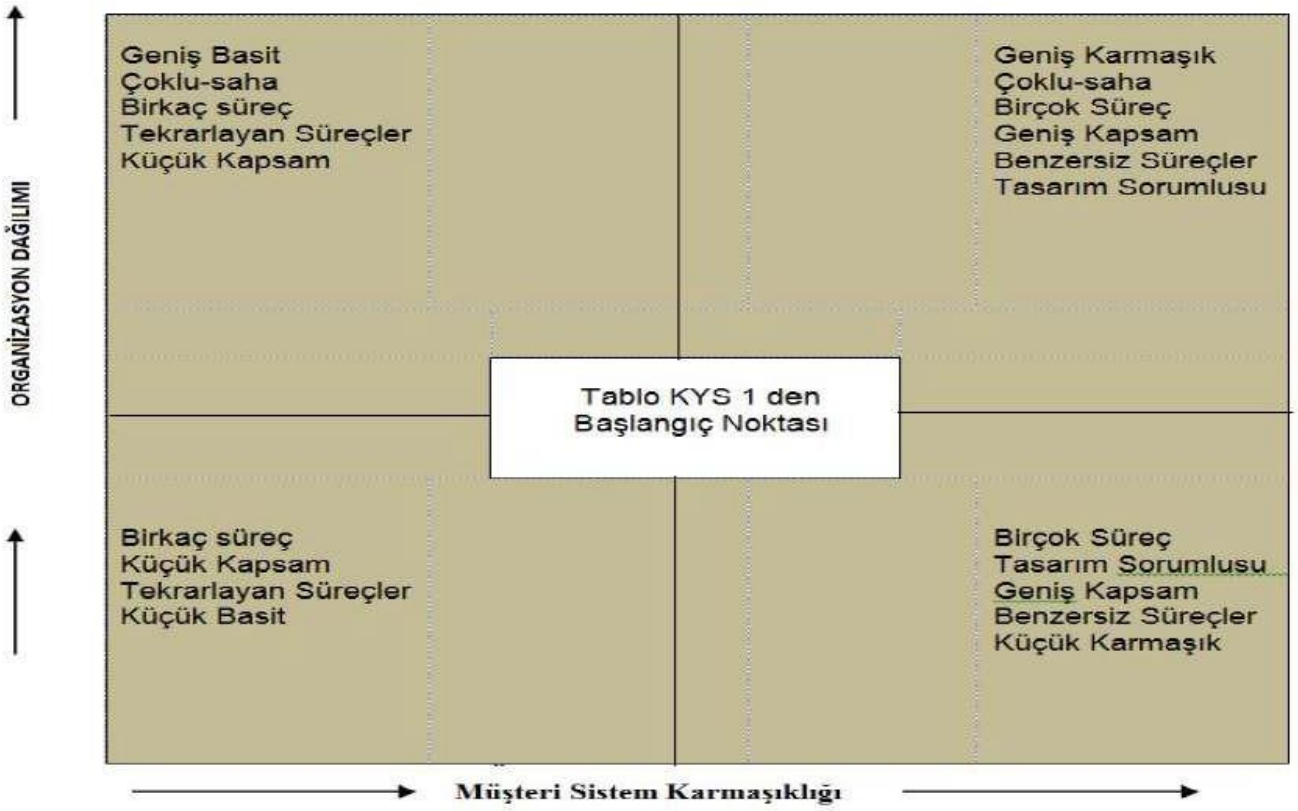
5.1.2.1. ISO 9001 QMS Risk Identification

For the QMS, the provisions in this document are based on three categories depending on the risks arising from the failure of the client's product or service. These categories are considered high, moderate or low risk. High-risk activities (e.g., nuclear, medical, pharmaceutical, food, construction) normally require more inspection period. Moderate risk activities (e.g., simple manufacturing) require normal inspection period and an effective audit, and low risk activities require less inspection period.

The risk categories in Table QMS-1 are not descriptive. They are used only when determining the risk category of the inspection.

It is expected that the business activities defined in the low-risk class will be less than the inspection period calculated using the 5.1.5 Inspection Period Calculation table, the same as the table in the medium risk class, and the activities defined in the high risk will be longer than the calculated period.

Table QMS1 - Relationship Between QMS Complexity and Inspection Periods



High Risk

Where the failure of the product or service results in economic disaster or a life-threatening outcome.

Examples include, but are not limited to:

Food; medicinal drugs; plane/aircraft; shipbuilding; load-bearing parts and structures; complex building activity; electrical and gas equipment; medical and health services; fishery; nuclear fuel; chemicals, chemical products and fibers.

Moderate Risk

Where the product or service failure cause injury or illness.

Examples include, but are not limited to:

Non-bearing parts and structures; simple building activities; base metals and fabricated products; non-metallic products; furniture; optical equipment; entertainment and personal services

Low Risk

Where the product or service failure does not cause injury or illness.

Examples include, but are not limited to:

Textiles and clothing; pulp, paper and paper products, publishing; office services; education; retail; hotels and restaurants.

5.1.2.2. ISO 14001 EMS Complexity Category Identification

With regard to the environmental aspects of the organization according to IAF MD 5, five major categories of complexity are taken into account that affect the inspection period.

Special: These require additional and specific consideration during the inspection planning stage.

High: Multiple environmental aspects of significant quality and severity (usually manufacturing or processing type establishments, with most environmental aspects generating significant environmental impact);

Moderate: Moderate environmental aspects of average quality and severity (typically manufacturing establishments, some of which have significant environmental impact);

Low: Few environmental aspects of low quality and severity (assembly-type establishments with a few environmental aspects creating significant environmental impact);

Limited: Very limited environmental aspects of limited quality and severity (office-type organizations);

Note: Although an organization in the chemical industry should be classified in the "High Complexity" category, an organization with only mixing work, away from chemical reactions or emissions and/or commercial processes, can be classified in the "medium" or even "low complexity" category.

In determining the time to be spent for the inspection, the industry sector in which the organization operates is included in which of the five complexity categories above, and the link between business sectors and complexity categories is determined from the table below.

Depending on the complexity category, the inspection period may be shortened or extended by the Chief Inspector performing the Stage 1 inspection.

The complexity categories determined on the basis of **EA code according to IAF MD5** and defined in the QSIPRO software are given in Table EMS1.

Table EMS 1 – EMS Complexity Category Table Determined According to IAF MD5

EA	Business Sector	Complexity	Stage 1 Location
1	Fishing/farming/forestry	Moderate	Site
2	Mining and quarrying	High	Site
2	Oil and gas extraction	High	Site
3	Processing of food and tobacco	Moderate	Site
4	Textile products and clothing, excluding tanning	Moderate	Site
5	Tanning of textiles and clothing	High	Site
6	Timber production, processing and impregnation of wood and wood products	Moderate	Site
6	Wood and wood products, excluding the manufacture and processing of paneling / timber, and processing and impregnation of wood and wood products	Low	Office
7	Production of the pulp, including the paper recycling process	High	Site
9	Production and printing of paper, excluding pulp	Moderate	Site
9	Paper products, excluding pulp, paper production and printing	Low	Office
10	Refining of oil	High	Site
11	Nuclear	Special Case	Site
11	Nuclear Electricity generation	Special Case	Site
12	Explosive manufacturing	High	Site
13	Chemicals and pharmaceuticals (pharmacy)	High	Site
14	Injection molding, forming and compounding of rubber and plastic, excluding the production of rubber and plastic raw materials that are part of chemicals	Low	Office
15	Non-metallic products, including products such as glass, clay and lime, and their processing	Moderate	Site
16	Non-metallic products and processes, including ceramics and cement	High	Site
17	Primary production - metals	High	Site

EA	Business Sector	Complexity	Stage 1 Location
17	Surface and other chemical-based treatments for metal fabricated products excluding primary production	Moderate	Site
17	Hot and cold forming and metal fabrication, excluding primary production, surface and other chemical-based treatments for metal fabricated products	Low	Office
18	Surface and other chemical based treatments for general mechanical engineering	Moderate	Site
18	General mechanical engineering assemblies excluding surface treatments and other chemical based treatments	Low	Office
19	Lean printed circuit board production for the electronics industry	Moderate	Site
19	Electrical and electronic equipment assembly, excluding lean printed circuit board production	Low	Office
22	Production of means of transport - road, rail, airline, ships	Moderate	Site
23	Timber production, processing and impregnation of wood and wood products	Moderate	Site
23	Wood and wood products, excluding the manufacture and processing of paneling / timber, and processing and impregnation of wood and wood products	Low	Office
24	Recovery, composting, waste composting and landfilling (of non-hazardous materials)	Moderate	Site
25	Coal-based electricity generation	High	Site
25	Electricity generation and distribution on a coal-free basis	Moderate	Site
26	Natural gas production, storage and distribution	Moderate	Site
27	Extraction, treatment and distribution of water, including river water management (note: the treatment of commercial wastewater is in the high category)	Moderate	Site
28	Construction and demolition	High	Site
29	Wholesale and retail fossil fuel sales	Moderate	Site
29	Wholesale and retail sales	Low	Office
30	Hotels/ restaurants	Low	Office
31	Transportation and distribution by sea, air or land	Moderate	Site
31	Transport and distribution management services without an existing fleet to manage	Limited	Office
31	Telecommunication	Limited	Office
31	Storage of large quantities of hazardous materials	Special Case	Site
32	Commercial real estate office, property management	Moderate	Site

EA	Business Sector	Complexity	Stage 1 Location
32	Financial Institutions	Special Case	Site
34	Technical tests and laboratories	Moderate	Site
35	Industrial cleaning, hygiene cleaning	Moderate	Site
35	Company activities and management, headquarters and management of holding companies	Limited	Office
35	Commercial real estate office, property management, general business services excluding services such as industrial cleaning, hygiene cleaning, dry cleaning as part of general business services	Limited	Office
36	Public administration	Special Case	Site
36	Local Authorities	Special Case	Site
37	Education Services	Limited	Office
38	Health care / hospitals / veterinary	Moderate	Site
39	Hazardous and non-hazardous waste processes, e.g.; garbage incineration	High	Site
39	Waste water and sewage processes	High	Site
39	Dry cleaning as part of general business services	Moderate	Site
39	Recreational services, entertainment services and personal services, excluding hotels and restaurants	Moderate	Site
39	Organizations with environmentally friendly products or services	Special Case	Site

The complexity level of the relevant activity can be changed in the light of the findings obtained as a result of the evaluations made during the certification application or Stage 1 inspection. In this case, the rationale is recorded with the QSIPRO software. The new complexity category is redetermined according to the change of Complexity Category by Impact Size Analysis article of this instruction, and the new category is updated in the QSIPRO software.

a) Changing Complexity Category by Impact Size Analysis

I. Probability Evaluation of Environmental Aspects

Evaluation of the probabilities of the emergence of environmental aspects arises as part of the activities of the organization. Each environmental aspect is determined by scoring between 1 and 4 based on their probability of occurring as part of the organization's activities (in normal and abnormal situations).

While evaluating the environmental aspects of the activity, the following aspects are taken into account;

- Emission
- Water Quality management
- Waste management
- Noise / Vibration Management
- Hazardous materials
- Storage – Fuel / Chemicals
- Chemical Storage
- Energy Consumption
- Emergency activity
- Employee health and safety
- Statutory and other laws
- International and other legal terms

Table to be used to determine probability

Score	Explanation	Probability
1	This activity is not carried out or does not happen very often, or it may be on a reduced scale.	Low
2	This activity is not carried out at regular intervals	Moderate
3	This activity is carried out at regular intervals.	High
4	This activity is very general and can be encountered at any time.	Very High

II. Severity Assessment of Environmental Impacts

During the assessment of the severity of environmental impacts, environmental damages and non-compliance with the laws must be considered. The environmental impact is determined by giving scores between 1 and 4 depending on the degree of severity (in normal and abnormal situations).

While evaluating the environmental impacts of the activity, the following aspects are taken into account;

- Finance / Business
- Soil
- Underground water
- Surface water
- Air quality
- Energy use
- Local ecology
- Use of natural resources
- Noise / Vibration

- Waste

Table to be used to determine impact

Score	Explanation	Probability
1	Negligible/ignorable environmental damages	Low
2	Negligible/ignorable environmental damages and in possible cases of non-compliance with the laws	Moderate
3	Potential environmental or occupational damages and non-compliance with the laws	High
4	Environmental or occupational damages and non-compliance with the laws	Very High

III. Identification of Risk Degree

The scores for environmental aspects and impacts are summed up and the final total score determines the degree of risk, and the complexity category is decided for each EA and Nace Code.

Score	Complexity Category	Explanation
71+	High	Serious non-compliance with the laws and causing serious environmental damages
55-70	Moderate	Non-compliance with the laws and significant environmental damages
30-54	Low	Possible and minor non-compliance with the laws, but not causing any significant environmental damage.
0 - 30	Limited	No relevant legal status and with little environmental impact.

5.1.2.3. ISO 45001 OHS Complexity Category Identification

With regard to the organization's OHS risks according to IAF MD 5, three major categories of complexity are considered that affect inspection period.

High: A large number of OHS Risks of significant quality and severity (usually construction, heavy industry or processing type establishments, with most OHS Risks creating significant OHS Hazards);

Moderate: Moderate number of OHS Risks of average quality and severity (typical light manufacturing establishments, with some OHS Risk creating a significant OHS Hazard);

Low: Few OHS Risks of low quality and severity (office-based organizations);

Depending on the complexity category, the inspection period may be shortened or extended by the Chief Inspector performing the Stage 1 inspection.

The complexity categories determined on the basis of EA code according to IAF MD5 and defined in the QSIPRO software are given in Table OHS1.

Table OHS 1 – OHS Complexity Category Table Determined According to IAF MD5

EA	Business Sector	Complexity	Stage 1 Location
1	fishing (sea, shore dredging and diving)	High	Site
1	fishing (fishing at sea high)	Moderate	Site
1	aquaculture (cultivation, breeding and collection of plants and animals in all types of aquatic environments)	Moderate	Site
1	farming / forestry (could be high depending on the activities)	Moderate	Site
2	mining and quarrying	High	Site
2	oil and gas extraction	High	Site
3	processing of food, beverage and tobacco	Moderate	Site
4	Textile products and clothing, excluding tanning	Moderate	Site
5	tanning of textiles and clothing	High	Site
6	Timber production, processing and impregnation of wood and wood products	Moderate	Site
7	Part of paper manufacturing, including paper recycling processing	High	Site
9	paper production and paper products, excluding pulp	Moderate	Site
10	manufacturing of coke and refined petroleum products	High	Site
11	nuclear	High	Site
12	Explosive manufacturing	High	Site
13	chemicals (including pesticides, battery and accumulator production) and pharmaceutical products	High	Site
14	Injection molding, forming and compounding of rubber and plastic, excluding the production of rubber and plastic raw materials that are part of chemicals	Moderate	Site
15	Non-metallic products, including products such as glass, clay and lime, and their processing	Moderate	Site

EA	Business Sector	Complexity	Stage 1 Location
15	fiberglass manufacturing	High	Site
16	non-metallic processing and ceramics, concrete, cement, lime, gypsum, etc.	High	Site
17	primary metal production	High	Site
17	Surface and other chemical-based treatments for metal fabricated products excluding primary production	Moderate	Site
17	Hot and cold forming and metal production	High	Site
18	General mechanical engineering assemblies excluding surface treatments and other chemical based treatments	Moderate	Site
18	weapon manufacturing	High	Site
19	Lean printed circuit board production for the electronics industry	Moderate	Site
19	Electrical and electronic equipment assembly, excluding lean printed circuit board production	Moderate	Site
22	Production of means of transport - road, rail, airline, ships	High	Site
23	Timber production, processing and impregnation of wood and wood products	Moderate	Site
24	Recovery, composting, waste composting and landfilling (of non-hazardous materials)	Moderate	Site
24	recycling of hazardous waste	High	Site
24	hazardous and non-hazardous waste treatment; Incineration etc.	High	Site
25	electricity generation and distribution	High	Site
26	gas production, storage and distribution	High	Site
27	Extraction, treatment and distribution of water, including river water management (note: the treatment of commercial wastewater is in the high category)	Moderate	Site
28	Construction and demolition	High	Site
29	wholesale and retail sales of fossil fuels (may be high depending on fuel quantity)	Moderate	Site
29	Wholesale and retail sales	Low	Site
30	hotels, entertainment services and personal services excluding restaurants	Moderate	Site
30	restaurants and camps	Low	Site
31	passenger transport (by land and sea)	Moderate	Site

A	Business Sector	Complexity	Stage 1 Location
1	passenger transport (air)	High	Site
1	Transport and distribution management services without an existing fleet to manage	Low	Site
1	telecommunication and post office services	Low	Site
1	storage of large quantities of hazardous materials	High	Site
2	Commercial real estate office, property management	Low	Site
2	Financial Institutions	Low	Site
4	Technical tests and laboratories	Moderate	Site
5	industrial cleaning, hygiene cleaning, dry cleaning normally part of general business services	Moderate	Site
5	Company activities and management, headquarters and management of holding companies	Low	Site
5	Commercial real estate office, property management, general business services excluding services such as industrial cleaning, hygiene cleaning, dry cleaning as part of general business services	Low	Site
6	Public administration	Low	Site
6	Local Authorities	Low	Site
6	defense activities / crisis management	High	Site
7	educational services (can be high or low depending on the purpose of the teaching activities)	Moderate	Site
8	Health care / hospitals / veterinary	High	Site
9	Transport and distribution of dangerous goods (by land, air and sea)	High	Site
9	Transport and distribution of non-dangerous goods (by land, air and sea)	Moderate	Site
9	Waste water and sewage processes	Moderate	Site

5.1.3. Identification of Factors Affecting Inspection Period

The factors that need to shorten or extend the inspection period are recorded on the QSIPRO Factors screen.

a) Factors Affecting the Extension of Inspection

Period for QMS&EMS&OHS

- Complex processes, relatively large number of unique activities (+10%)
- Complex logistics involving multiple buildings or addresses where the business is conducted (+10%)
- Performing the inspection in many foreign languages, requiring an interpreter, documentation in more than one language (+10%)
- Huge space for personnel, (+10%)
- Sectors with a high level of legal liability/risk. Where the failure of the product or service has caused economic disaster or endangered life (for example +20%)
- Activities that require visits to temporary sites to verify the activities of permanent sites subject to management system certification. (+10%)
- Outsourced Processes (+10%) (QMS&EMS)
- Situations that require inspection of the Night Shift (+10%)
- Organization's documentation structure, Organizational structure and competence, Undeveloped management system (+10%)
- If the inspection to be carried out covers remote control techniques, IAF MD 4 is accepted as a guide. This situation is considered as a factor that extends the inspection period. (Determined on a project basis)

Addition for EMS

- Higher sensitivity to environmental impacts compared to general industrial establishments (settlements by the sea or streams, settlements within a densely populated area), (+10%)
- Opinions of related parties (sensitivity of the society, rules specific to that region set by the local government), (+10%)
- Additional/unusual environmental aspects for the industry, environmental permits and licenses. (+10%)

- Risks of environmental accidents and the effects of incidents, accidents, potential emergencies, previous environmental problems caused or likely to be caused by the organization (+20%)

Addition for OHS

- Opinions of related parties (sensitivity of the society, rules specific to that region set by the local government), (+10%)
- Additional/unusual OSH hazards, permits and licenses for the industry (+10%)
- The fact that the rate of accidents and occupational diseases is above the average for the business sector, (+10%)
- If there are people in the site of the organization. (for example, hospitals, schools, airports, ports, train stations, public transport), (+10%)
- The fact that the organization is facing legal actions related to OHS. (depending on the severity and impact of the risk), (+10%)
- Temporary existence of many (sub)contractors and their employees, (+10%)
- Presence of dangerous goods in quantities that may expose the facilities to the risk of major industrial accidents, in accordance with applicable national regulations and/or risk assessment documents, (+20%)
- Organization containing sites within this scope in countries other than the home country (if the legislation and language are not well known) (+10%)
- Sectors with high legal obligations (space, nuclear power, refinery and chemical industry, fishing boats, mining, food, pharmaceuticals…) (+20%)
- Indirect factors (e.g.: relations with local authorities or company head offices) (+10%)

If the product or service realization process is carried out as a shift system, the inspection of each shift varies according to the processes carried out in each shift. If a process other than day shifts is carried out in night shifts other than the inspection plan, this is stated in the Application Form. In the light of this information in the application form, the inspection period and plan can be extended to include night shifts if necessary. The reason for **not inspecting** each shift is recorded.

In ISO 45001 inspections, if the customer is serving at another organization's premises, it should be verified that the customer's OHS meets these external activities (despite the other organization's OHS obligations). In determining the time to be spent for inspection, it is taken into account that these employees periodically inspect any area of the organization in which they work. Whether or not all sites will be inspected shall depend on a variety of factors, including the OSH risks associated with the activities performed, contract agreements, the internal audit system, accident statistics, and certificates issued by another accredited certification body. The reason for this decision, which will lead to an extension of period, is recorded in the Application Assessment Form.

In case the inspection period is extended, the reason for extension is recorded in the Application Assessment Form.

b) Factors Affecting the Reduction of Inspection Period

For QMS & EMS & OHS

- In case of no design responsibility or the absence of some of the other elements of the standard in the scope, (QMS only) (-20%)
- Maturity level of the management system (the fact that Management System has been in existence for more than 3 years) (-10%)
- Working in a small area in terms of number of personnel (just like an office), (-20%)
- Certificate from another organization or 3rd party recognition (-10%)
- Simple Process (being only in the service sector, all shifts are observed to do the same job with the same performance in previous inspections, the majority of the employees have simple and similar tasks, etc.) (-20%)
- Having staff working off-site. E.g. sales persons, drivers, service personnel etc.) and it is possible to largely inspect the compliance of their activities with the system through the review of records (QMS & EMS only) (-10%)
- Previously certified by QSI for another standard (-10%)
- High Level Automation (QMS & EMS Only) (-20%)
- Product/process group with low sensitivity (EMS only) (-10%)
- Client preparation for OHS certification (for example, subject to periodic inspections by the National Authority for a mandatory official OHS program) Only (OHS), (-10%)
- Activities considered as low risk (QMS & EMS) (-20%)

o Processes involving similar and repetitive activities (e.g.: Service only)

o Identical low complexity activities performed on shifts with appropriate evidence of equal value/equal performance across all shifts

o Where the majority of personnel perform similar simple tasks. Repetitive operations/processes within the scope (when employees perform repetitive activities).

When a high percentage of personnel perform some activities / positions that are deemed similar, they are taken into account in reducing/extending the inspection period as they expose personnel to similar OHS risks (e.g. cleaners, security, sales, call centers, etc.).

Groups of workers performing repetitive tasks that may reduce attention and increase the associated OHS risk (eg assembly, assembly, packaging, classification, etc.) are taken into account in reducing/extending the inspection period.

In case of a large number of unqualified personnel, a reduction can be made in the effective personnel for other certification programs (QMS, EMS). In principle, this reduction does not apply to OHS as the employment of unqualified personnel can be a source of OHS risks. In exceptional cases, if a reduction is made, the rationale for doing so is recorded with the QSIPRO software.

In addition to the above-mentioned reasons for extending and reducing the calculation of the ISO 45001 Period, the OHS inspection period can be extended or shortened according to the score obtained in the form, in the light of the information received in the System Certification Application Form.

No	***Potential Dangers and Other Factors***	Very Rare (-1)	Sometimes (0)	Normal (1)	Often (2)
1	Level of Dangerous Goods Use (Explosive, Flammable, Combustible, Toxic, Radioactive…)	☐	☐	☐	☐
2	Level of Dangerous Goods Transport / Storage (Explosive, Flammable, Combustible, Toxic, Radioactive…)	☐	☐	☐	☐
3	Level of In-plant Vehicle-Pedestrian Interaction (Including Forklifts)	☐	☐	☐	☐
4	Electrical Hazard Level (Many electrical panels, high voltage, electrical works)	☐	☐	☐	☐
5	Level of Radiation Exposure	☐	☐	☐	☐
6	Level of Working in Confined Spaces (Underground, Closed Tank, Excavation….)	☐	☐	☐	☐
7	Level of Working at Height (including Scaffolding etc.)	☐	☐	☐	☐
8	Level of Working in Noisy Environments	☐	☐	☐	☐
9	Level of Working in Hot Environments	☐	☐	☐	☐
10	Level of Occupational Jobs Requiring Special Permit in terms of OHS	☐	☐	☐	☐
11	Level of Mobile Equipment and Machinery Use (Drilling, Pressing, Mobile ladder)	☐	☐	☐	☐
12	Heavy Equipment (Digger, Dozer, ….) Usage Level	☐	☐	☐	☐
13	Probability of Exposure to Physical Violence (Police Force, Private Security…..)	☐	☐	☐	☐
14	Frequency of Manual Handling Jobs	☐	☐	☐	☐
15	Level of Working in a Contagious Environment Affecting Health (Hospital, laboratory, working with chemicals, …)	☐	☐	☐	☐
	Total Score				

No more than 30% discount is made during the inspection period under any circumstances.

5.1.4. Identification of Integration Rate for Integrated Inspections

In integrated inspections, the sites to be inspected according to MD 1 are selected without calculating the duration according to MD 5. Integrated inspections are carried out according to MD 11.

The formula to be used when calculating the integrated inspection day period is:

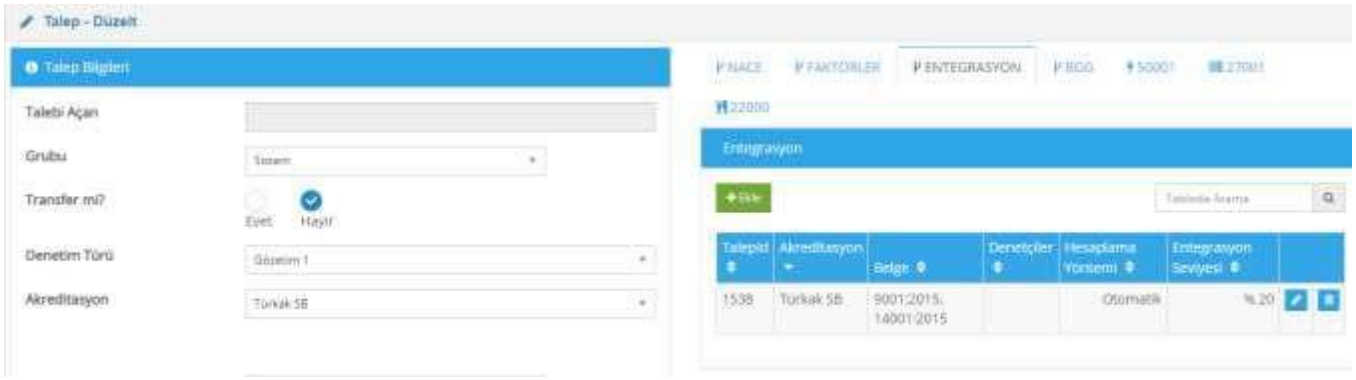
T= A+B+C…

T = Initial integrated inspection period

A, B, C… = Inspection periods calculated according to MD5 for the standards to be inspected as integrated (period for which up to 30% discount per standard is made).

As stated in MD 11 document, if the management systems documentation to be integrated has 100% integration and if the inspection team to take part in the inspections is assigned at 100% of the relevant standards, an extra 20% discount can be made over the calculated T-initial integrated inspection period.

The integration status is entered on the QSIPRO Integration screen.



a) Calculation of the integration level of the management systems documentation to be inspected as integrated;

Information on the integration level is obtained with the Application Form and assessed according to the table below;

Integration Topics	% Score
Organization, responsibilities and work instructions are integrated	15%
Management Review meetings are integrated	15%
Internal audits are integrated (internal audits should be conducted by auditors qualified in both standards)	15%
Policies and targets are integrated	15%
System processes are integrated	15%
Integrated management responsibility and support	10%
An integrated approach to remediation mechanisms	15%

b) Calculation of the capabilities of the inspection team that will take part in the inspection in the relevant standards

The % competence of the inspection team to be assigned in the integrated inspection is calculated according to the formula below.

$$\frac{100 \times ((X1-1) + (X2-1) + (X3-1) + (Xn-1))}{Z \times (Y-1)}$$

X1, 2, 3…n = Number of standards for which each inspector is approved (considering integrated inspection standards)

Y = Number of standards to be inspected as integrated
Z = Number of inspectors to be assigned in integrated inspection

c) Calculating the % of integrated inspection period reduction

In the chart below, the y-axis represents the management system's integration %, and the x-axis represents the inspection team's capability %. The intersection point of the results obtained after the calculations shows the % reduction to be made over the total integrated inspection period.

ANNEX 1 Reduction in Audit Time

ANNEX 1 – REDUCTION OF TIME

Figure 1

Level of integration %	Ability to perform combined audit %					
	0	20	40	60	80	100
100	0 5	5	10	15	20	
80	0 5	5	10	15	15	
60	0 5	5	10	10	10	
40	0 5	5	5	5	5	
20	0 5	0	0	0	0	
0						

Example-

For ISO 9001 and ISO14001 inspections, QMS was calculated as 2 man/day and EMS as 4 man/day according to MD 5.

After the evaluation made according to the instruction, a 30% discount was decided for each of the 2 standards.

QMS = 2 – (2 x 30%) = 1.4 man/day
EMS = 4 – (4 x 30%) = 2.8 man/day

The state of the organization to integrate both standards (integration level) was determined as 60%. 2 inspectors will be used in the integrated inspection (1 inspector is certified in both standards and the other is certified in only one)

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

According to the table above, the intersection point of the x and y columns is 10, in which case a maximum integration discount of 10% can be made. As a result of 10% discount

QMS = 1.4 – (1.4 x 10%) = 1.25 man/day
EMS = 2.8 – (2.8 x 10%) = 2.55 man/day

5.1.5. Table for Identification of Inspection Period

With the parameters specified in this instruction entered into the QSIPRO software, the QSIPRO software suggests the inspection periods and the place where the inspection will be performed. These periods may be extended according to the decision of the application reviewer and the appointed Chief Inspector.

Number of Effective Employees	ISO 9001 QMS	ISO 14001 EMS Complexity Category				ISO 45001 OHS Complexity Category		
		High	Moderate	Low	Limited	High	Moderate	Low
1-5	1.5	3	2.5	2.5	2.5	3	2.5	2.5
6-10	2	3.5	3	3	3	3.5	3	3
11-15	2.5	4.5	3.5	3	3	4.5	3.5	3
16-25	3	5.5	4.5	3.5	3	5.5	4.5	3.5
26-45	4	7	5.5	4	3	7	5.5	4
46-65	5	8	6	4.5	3.5	8	6	4.5
66-85	6	9	7	5	3.5	9	7	5
86-125	7	11	8	5.5	4	11	8	5.5
126-175	8	12	9	6	4.5	12	9	6
176-275	9	13	10	7	5	13	10	7
276-425	10	15	11	8	5.5	15	11	8
426-625	11	16	12	9	6	16	12	9
626-875	12	17	13	10	6.5	17	13	10
876-1175	13	19	15	11	7	19	15	11
1176-1550	14	20	16	12	7.5	20	16	12
1551-2025	15	21	17	12	8	21	17	12
2026-2675	16	23	18	13	8.5	23	18	13
2676-3450	17	25	19	14	9	25	19	14
3451-4350	18	27	20	15	10	27	20	15
4351-5450	19	28	21	16	11	28	21	16
5451-6800	20	30	23	17	12	30	23	17
6801-8500	21	32	25	19	13	32	25	19
8501-10700	22	34	27	20	14	34	27	20

- ✓ **Surveillance inspections** are 1/3 of the total inspection period (on site + off site) for Stage 1 + Stage 2 without discounts applied. Reductions and extensions are calculated over this period before each surveillance.
- ✓ **Recertification inspections** are 2/3 of the total inspection period (on site + off site) for Stage 1 + Stage 2 without discounts applied. Reductions and extensions are calculated over this period before each recertification.

- ✓ **Scope Extension, Follow-up and Preliminary Inspections** are calculated as 1 man/day. However, scope extension inspections can be carried out in integration with surveillance inspections (provided that man/day period is extended).
- ✓ The total inspection period in the inspection program is the sum of the inspection periods at each site and at the head office. The total inspection period is obtained by calculating the inspection periods for each site and head office separately and taking the grand total. The period can be adjusted based on sampling information depending on actual processes and information gathered during initial certification or prior to surveillance or recertification.

5.2. ISO 27001 INSPECTIONS

In ISO 27001 applications, the inspection period is calculated by considering the number of employees under the organizational control of the organization, temporary sites, the complexity of the ISMS and the effort required to inspect the ISMS, and the following issues.

a) Complexity of ISMS (criticality of information, risk status of ISMS, etc.)
b) Types of work performed within the scope of ISMS
c) The size and variety of technology used in the implementation of the various components of the ISMS (number of different IT platforms, number of dedicated networks, etc.)
d) The extent of outsourcing and third-party agreements used within the scope of ISMS
e) Aspect of information system development
f) Number of sites and number of disaster recovery sites
g) The amount and size of ISMS-related changes (for surveillance and re-certification)

In ISMS inspections, a reduction/extension can be made over the calculated inspection period. Initial inspection periods are given in the Inspection Period Determination Table and the deviation from these periods **should not exceed 30%**. Possible reduction/extension reasons are given below.

5.2.1. Identification of Factors Affecting Inspection Period

5.2.1.1. Identifying the Affect of Business and IT Complexity Level

In the calculation of ISO 27001 Period, the total Business and IT Complexity Level Score is determined in the light of the information received in the System Certification Application Form. The determined Score is recorded in the QSIRO Factors field as the Business and IT Complexity Level Impact Score.

1- Factors Related to Business and Organization (Other than IT)			
Is a high level of legislative implementation required in the realization of the activities? (for example; telecommunications, health, energy sector, etc.)	*No high level of legislative implementation*	*No high level of legislative implementation, but clients have a high level of legislative implementation*	*There is High Level of Legislative Requirement.*
	☐ (-5%)	☐ (0%)	☐ (5%)
Do you have activities that require visiting temporary sites	*Our activities are carried out at our company addresses.*	*Our activities are carried out at our company address and in a small number of temporary sites.*	*Our activities are carried out at a large number of temporary sites. (More than 4)*

to confirm your certification scope?	☐ (-5%)	☐ (0%)	☐ (5%)
Interpreter Requirement During Inspection		*Some of our employees need an interpreter for their inspection.*	*An interpreter is required for inspecting many of our employees and documents.*
	☐ (0%)	☐ (0%)	☐ (5%)
Do you have more than one main field of activity?	*Only one activity is carried out.*	*We have 2 main activities.*	*We have more than 2 main activities.*
	☐ (-5%)	☐ (0%)	☐ (5%)
Do most of the personnel do the same job?	*Most of the employees do the same job*	*There is not a significant number of personnel doing the same job*	*Employees have different duties*
	☐ (-5%)	☐ (0%)	☐ (5%)
Level of establishment of the Management System	*ISMS has been operated for more than 3 years.*	*ISMS system has been operated for 1-3 years.*	*ISMS has been operated for less than 1 year.*
	☐ (-5%)	☐ (0%)	☐ (5%)
Number of Additional Locations Served (Number of Branches)	*Operation takes place in a single location.*	*Operation takes place in 2-3 different locations.*	*Operation takes place in more than 3 sites.*
	☐ (-5%)	☐ (0%)	☐ (5%)
Do you have any other certificates from QSI Certification?	*Yes (more than 1 certificate)*	*Yes (1 Certificate)*	*No*
	☐ (-5%)	☐ (-5%)	☐ (0%)
2- Factors Related to IT Environment			
How would you describe your IT infrastructure complexity?	*Standardized and few IT platforms, servers, operating systems, databases, networks are used.*	*IT platforms, servers, operating systems, databases and networks in several different structures are used.*	*IT platforms, servers, operating systems, databases and networks in many different structures are used.*
	☐ (0%)	☐ (0%)	☐ (5%)
What is your rate on outsourcing and dependency on suppliers, including cloud services?	*None of the activities is outsourced.*	*A few outsourced processes are used in non-significant activities.*	*Mostly outsourced processes are used in significant activities.*
	☐ (-5%)	☐ (0%)	☐ (5%)
Information System development	*No system development or very limited in-house system/application development available*	*There are several in-house or outsourced system/application developments for some important business purposes*	*Extensive in-house or outsourced system / significant application development available*
	☐ (-5%)	☐ (0%)	☐ (5%)
Usage status and number of Disaster Recovery (DR) sites	*Low availability requirements There are no Alternative Disaster Recovery (DR) sites.*	*Medium or High availability There are no or only 1 Alternative Disaster Recovery (DR) sites.*	*High availability requirements. For example, 24/7 service, several alternative disaster recovery sites, several data centers*
TOTAL SCORE			

5.2.1.2. Identification of Other Factors

A maximum of 15% discount can be made due to the presence of substances excluded in APPENDIX-A.

No more than 30% discount is made during the inspection period under any circumstances.

5.2.2. Table for Identification of Inspection Period

In ISMS, the expression of the number of employees refers to the personnel working under the control of the organization. Part-time employees working under the control of the organization contribute proportionally to the working hours and the number of personnel working under the control of the organization compared to full-time employees. In order to determine the number of employees in ISMS, the number of part-time and full-time personnel must be recorded in the Application Form. At this point, the number of part-time employees, if any, is converted to an equivalent number of full-time employees. In addition, the hours worked compared to a full-time employee should be decisive for this transformation. The converted number is summed with the number of full-time employees and the number of employees is obtained.

The period of the inspection to be performed is determined according to the table below.

Number of Employees Under Organizational Control	First Inspection Period (inspection day)	Surveillance Inspection Period (inspection day)	Recertification Inspection Period (Inspection Day)
1-10	5	1.67	3.33
11-15	6	2	4
16-25	7	2.33	4.67
26-45	8.5	2.83	5.67
46-65	10	3.33	6.67
66-85	11	3.67	7.33
86-125	12	4.00	8.00
126-175	13	4.33	8.67
176-275	14	4.67	9.33
276-425	15	5.00	10.00
426-625	16.5	5.50	11.00
626-875	17.5	5.83	11.67
876-1,175	18.5	6.17	12.33
1,176-1,550	19.5	6.50	13.00
1,551-2,025	21	7.00	14.00
2,026-2,675	22	7.33	14.67
2,676-3,450	23	7.67	15.33
3,451-4,350	24	8.00	16.00

4,351-5,450	25	8.33	16.67
5,451-6,800	26	8.67	17.33
6,801-8,500	27	9.00	18.00
8,501-10,700	28	9.33	18.67
>10,700	The above sequence is followed		

The total inspection period in the inspection program is the sum of the inspection periods at each site and at the head office. The total inspection period is obtained by calculating the inspection periods for each site and head office separately and taking the grand total. The period can be adjusted based on sampling information depending on actual processes and information gathered during initial certification or prior to surveillance or recertification.

5.3. ISO 50001 INSPECTIONS

5.3.1. Determining the Number of Effective Employees

While determining the number of EnMS effective personnel, the personnel who clearly affect the EnMS, including the following, are taken into consideration. Information about these personnel is obtained from the customer with the Application Form and verified in the Stage 1 inspection and updated if necessary.

a) Senior management,
b) Management representative(s),
c) Energy management team,
d) Person(s) responsible for major changes affecting energy performance,
e) Person(s) who take responsibility for the effectiveness of EnMS,
f) Person(s) responsible for developing, implementing or maintaining energy performance improvement activities, including goals, objectives and action plans,
g) Person(s) responsible for significant energy uses.

Note – Persons responsible for significant energy uses may not be considered as EnMS effective personnel due to the impact of their actions on energy performance. It is important to understand their roles and influence before they are included in the EnMS effective personnel.

5.3.2. Identification of Complexity Category

Complexity is based on three considerations:

a) Annual energy consumption,
b) Number of energy sources,
c) Number of significant energy uses.

Complexity is a value calculated based on a weighted coefficient that takes all these considerations into account. Two pieces of information are required in calculating the complexity for each assessment:

a) Weight value or multiplier,
b) Complexity factor, which is a value based on a range.

The equation for calculating complexity (C) is given below:

= (EC × EC) + (ES × ES) + (SEU × SEU) Where;

FEC The complexity factor of annual energy consumption given in Table A.1,
FES The complexity factor of number of energy sources given in Table A.1,
FSEU The complexity factor of significant energy uses given in Table A.1,
WEC The weight coefficient of annual energy consumption factor given in Table A.1,
WES The weight coefficient of the number of energy sources factor given in Table A.1,
WSEU The weight coefficient of the important energy uses factor given in Table A.1.

The weight values and related ranges of the complexity factors required in the calculation of complexity for each assessment are given in Table A.1.

Table A.1 – Energy complexity criteria for determination of inspection period

Assessments	**Weight coefficient**	**Range**	**Complexity coefficient**
Annual energy use (TJ)	30%	≤ 200 TJ (terajoule)	1.0
		200 TJ ≤ 2,000 TJ	1.2
		2,000 TJ ≤ 10,000 TJ	1.4
		> 10,000 TJ	1.6
Number of energy sources	30%	1 to 2 energy sources	1.0
		3 energy sources	1.2
		≥ 4 energy sources	1.4
Number of significant energy uses (SEUs)	40%	≤ 5 SEU	1.0
		6 to 10 SEUs	1.2
		11 to 15 SEUs	1.3
		≥ 16 SEUs	1.4

After the complexity value is calculated using the above equation, it is used to determine the EnMS complexity level according to Table A.2.

Table A.2 – EnMS complexity level

Complexity value	**EnMS complexity level**
> 1.35	High
1.15 to 1.35	Moderate
<1.15	Low

5.3.3. Identification of Integration Rate for Integrated Inspections

If the organization has another certified management system integrated with the EnMS, the inspection period can be reduced according to article 5.1.4 of this instruction. However, the period reduction due to integration can never exceed 20%.

5.3.4. Table for Identification of Inspection Period

The minimum inspection period is determined on the basis of a combination of EnMS effective personnel and complexity.

Number of EnMS Effective Personnel	**Complexity Category**								
	Low			Moderate			High		
	Initial	Surveillance	Again	Initial	Surveillance	Again	Initial	Surveillance	Again
1-15	3	1	2	5	2	3	6	2	4
16-25	4	1.5	3	6	2	4	7.5	2.5	5
26-65	5.5	2	4	7	2.5	5	8.5	3	6
66-85	6.5	2	5	8	3	5.5	9.5	3	7
86-175	7	2	5	9	3	6	10	3	7
176-275	7.5	2.5	5	9.5	3.5	6.5	10.5	3.6	8
276-425	8.5	3	6	11	3.5	7	12.5	4	9
≥ 426	During the inspection period, increases in this table are followed in numbers exceeding 425.								

The total inspection period in the inspection program is the sum of the inspection periods at each site and at the head office. The total inspection period is obtained by calculating the inspection periods for each site and head office separately and taking the grand total. The period can be adjusted based on sampling information depending on actual processes and information gathered during initial certification or prior to surveillance or recertification.

6. REVISION TRACKING PAGE

Rev. No	Rev. Date	Revision Description
1	18.01.2011	The section regarding the inspection periods of the companies operating at more than one address was added.
2	01.03.2011	Inspection periods (Stage 1 to a maximum of 30%) were updated. The reasons for reductions in the inspection periods were written in the TNET 'Justify' Box
3	06.05.2011	The decimals on inspection days were corrected (but in no case the stage 1 inspection exceeded 30% of the total inspection)
4	27.09.2011	The decimals on inspection days were corrected (but in no case the stage 1 inspection exceeded 30% of the total inspection)
5	07.11.2011	The statement based on the fact that the discount for each standard should not exceed 30% in integrated inspections
6	08.04.2013	According to MD 11-2013 document, the calculation of integrated inspection day period was updated. According to MD 5- 2013, reductions in the number of personnel are indicated.
7	01.08.2013	Translated into English
8	26.09.2014	Updated in line with the nonconformities and observations detected in TURKAK unscheduled and witness inspections.
9	12.12.2014	General revision
10	08.07.2015	Company Name changed
11	10.08.2015	After the TURKAK's inspection, the ISO 14001 inspection periods were updated according to MD 5-2015.
12	29.08.2015	Complexity category table and application related to processes in the shifts were added
13	20.10.2015	General Revision
14	07.02.2018	27001 standard was added. It was added to the instruction that Stage 2, Surveillance and Recertification inspections will not be less than 1 day.
15	26.11.2018	General Revision was made. ISO 45001 and ISO 50001 Standards were added. QSIPRO screen uses were added.
16	01.04.2019	The system related to ISO 27001 was updated
17	22.07.2019	According to IAF MD 22:2018, ISO 45001 complexity categories and the reasons for period extensions and reductions were added.
18	10.01.2020	The EMS and OHS Complexity categories were written on the basis of EA code according to IAF MD5, where the Risk Classes would be determined according to the TURKAK R 40.05 Guidelines. The method for determining the ISO 27001 Business and IT Complexity Level Impact was changed. QSIPRO screens and extension and reduction factors were updated.