

Aluminium Stewardship Initiative (ASI) Certification Fee Structure 铝业管理倡议认证报价指南

This document describes the methods and rules for the quotation of ASI PS(Performance Standard), with the aim of ensuring the uniformity and fairness of the quotation mechanism.
为保证报价机制的统一、公平，建立本文件对铝业管理倡议绩效标准认证报价的方法和规则进行说明和描述

说明Note:

1	认证人天费：8000元-9000元/人天--ASI 审核员/per 8000-9000RMB/Person-day -- One ASI Auditor
2	验证报价含税：(验证人天数+差旅费)*现行税率 Certification fee = (Certificated Person-day offer + travel/Hotel costs)*Current VAT Rate. The Certification fees are tax involved.
3	差旅费：按照客户要求实报实销或预估 Travel Cost: reimbursement on an actual or estimated basis in accordance with the client's requirements 青岛市区及周边：500~600RMB； 山东省内城市：800~1000RMB； 山东省外城市：1500~2000RMB
4	币种：人民币 Currency: CNY

ASI绩效标准报价指引

ASI-Performance-Standard(PS) Certification Quotation Related

评估认证审核的现场时间(人员, 日)指引

Guidance to estimate the on-site time (person days) for Certification Audits

认证范围内包含的设施中工作的人员数量: Number of Personnel working in all Facilities included in the Certification Scope	绩效标准: 全部标准 Performance Standard: Entire Standard	绩效标准: 仅限准则1-4 Performance Standard: Entire Standard	绩效标准: 仅限准则1-4 监督链 Chain of Custody Standard	现场审核时间影响因素 The actual planned on-site time will vary based on factors including:
1 - 25	2	1.0-1.5	1	<ul style="list-style-type: none"> • 审核范围内设施的数量和性质 • 实现审核目标所需的客观证据抽样制度 • 认同标准或/体系已解决的标准数量 • 审核范围内的标准 • 对于监管链审核，无论工厂正在接收 CoC 材料还是审核仅是验证系统。
26-100	3	1.5-2.0	1.0-1.5	
101-500	4	2.0-2.5	1.5-2.0	
501 - 1000	5.0-8.0	2.5-3.0	1.5-2.0	
1001-5000	8.0-10.0	3.0-3.5	2.0-3.0	
5001-10000	10.0-15.0	3.0-4.0	2.0-3.0	
1000+	15.0+	3.5-4.0	3.0-4.0	

注:兼职工作人员(雇员及承建商)的人数, 应作为全职对等(FTE)人员来看待, 并以全职工作人员的工作时数为基础而定。

Note: the number of part-time Workers (employees and Contractors) should be treated as full-time equivalents (FTEs) based on the number of hours worked as compared with full-time Workers.

监督审核的现场时间(人、日)指引

Guidance to estimate the on-site time (person days) for Surveillance Audits

认证范围内所含设施中的工作人员数量 Personnel working in Facilities included in the Certification Scope	总体成熟度等级 Maturity Rating			绩效标准: 仅为材料管理标准 For Audits of Performance Standard: Material Stewardship Criteria only
	低成熟度等级 Low Overall Maturity Rating	中成熟度等级 Medium Overall Maturity Rating	高成熟度等级 High Overall Maturity Rating	
1 - 25	1.5-2.0	1.0-1.5	1	1
26-100	2.5-3.0	2.0-2.5	2	1.5
101-500	3.5-4.5	3.0-3.5	3	1.5-2.0
501 - 1000	5.0-8.0	4.0-5.5	5	1.5-3.0
1001-5000	8.0-10.0	6.0-7.5	5	4
5001-10000	10.0-15.0	8.0-9.5	6	4.0-5.0

1000+	15.0+	10.0-15.0	8	5.0-10.0
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注:兼职工作人员(雇员及承建商)的人数,应作为全职对等(FTE)人员来看待,并以全职工作人员的工作时数为基础而定。
 Note: the number of part-time Workers (employees and Contractors) should be treated as full-time equivalents (FTEs) based on the number of hours worked as compared with full-time Workers.

报价技巧指南

skills for quotation

审核所需要的总时间,大约是在会员的经营场所(如下表中的数字)所花费时间的两倍。
 It is important to note that the total time required by an Audit is around double the time spent on-site at a Member's premises.

ASI 绩效标准认证审核的多场所抽样 Multi-Site sampling for ASI Performance Standard Audits

设施数目 Number of like Facilities	除了总部外,还进行了初步的认证审核 Initial Certification Audit in addition to head office	监督审核 Surveillance Audit	再认证审核 Re-Certification Audit
1	1	1	1
2	2	1	1--2
3	3	1	2
4--10	3--4	1--2	2--4
11-100	4--10	2--3	4--10
101-1000	10--32	3--8	10--32
1000+	32+	8+	32+

ASI 绩效标准的多场所抽样(仅准则 1-4)和监管链标准审核 Multi-Site Sampling for Performance Standard (Principles 1-4 only) and Chain of Custody Standard Audits

设施数目 Number of like Facilities	除了总部外,还进行了初步的认证审核 Initial Certification Audit in addition to head office	监督审核 Surveillance Audit	再认证审核 Re-Certification Audit
1	1	1	1
2	2	1	1--2
3	3	1	2
4--10	3--4	1--2	2--4
11-100	4--10	2--3	4--10
101-1000	10--32	3--8	10--32
1000+	32+	8+	32+

审核所需的时间分配如下:
 • 30%的时间用于计划和准备
 • 50%的时间进行现场审核
 • 20%的时间进行事后审核跟踪和报告
 In general, the time required for an Audit is distributed as follows:
 • 30% of time devoted to planning and preparation
 • 50% of time for the on-site component of the Audit
 • 20% of time for post-Audit follow-up and reporting

说明Note:

1	<p>首次认证,均按照低成熟度水平确认现场人天。 对于第一次认证审核,将不会预先确定总体成熟度等级。但是,审核人员在计划审核重点领域和进行访谈时可以使用自我评估的成熟度等级。 Note that for the first Certification Audit, on-site person days shall be confirmed as Low Overall Maturity Rating. An Overall Maturity Rating will not have been determined in advance, however Auditors may use the self-assessed Maturity Rating when planning the Audit in terms of areas to focus on and interviews to conduct.</p>
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2	<p>对于监督审核，频率和强度与定义的认证范围和适用标准的总体成熟度评级相关。如果认证范围保持不变，则监督审核所需的时间应约为初始认证审核(低成熟度)所用时间的三分之一至二分之一。但是，如果由于认证审核，审核员确定需要审核大量纠正措施计划的进度，则监督审核的现场时间可能大于表中时间。</p> <p>For Surveillance Audits, the frequency and intensity are related to the Overall Maturity Rating for the defined Certification Scope and the applicable Criteria. Guidance is provided in the Table 20 below. In general terms, where the Certification Scope remains unchanged, the time required for Surveillance Audits should be approximately one-third to one-half the time spent on the initial Certification Audit. However, if as a result of a Certification Audit, an Auditor determines that progress on a large number of Corrective Action Plans require review, the on-site time for a Surveillance Audit may be greater than table.</p>
3	<p>再认证时，根据成熟度状况，按照上表确认人天。</p> <p>Note that for the Re-Certification Audit, Person-day shall be confirmed as the status of Overall Maturity Rating.</p>