

ET110: BRCGS Ethical Trade and Responsible Sourcing Issue 1 Audit Duration Calculator

Document Scope: This document is applicable to audits against the Ethical Trade and Responsible Sourcing Standard.

Change log:

Version no.	Date	Description
1	05/08/2019	First Issue.

1. Background

This document provides the guidelines when establishing the audit duration on site for both full audits and where applicable surveillance audits against the BRCGS Standard for Ethical Trading and Responsible Sourcing.

The on site audit process can be considered to have 3 main components

- Review of the sites operating systems and procedures – broadly requiring similar time across all operations - typically 3-4 hours
- Facility inspection reviewing health and safety and gathering information for subsequent investigation – time requirement based on the size of the site and supplementary areas such as worker accommodation typically 1.5 to 3 hours
- Worker interview and record reviews – determined by the number of employees and the languages spoken.

The time taken to write the audit report and for the review of any corrective actions provided following the audit is NOT included within the audit duration calculator.

2. Calculation of audit duration

The audit duration calculator is based on:

- Number of employees – Total employees across all shifts including peak seasonal workers and sub contracted employees.
- Size of the manufacturing facility (in square metres) - including onsite storage facilities. The conversion from square feet to metres is 10.76 (e.g. 86,000 square feet equals 8,000 square metres).
- Language – in particular the need for interpreters to be used for interviews

The other factors identified in the Standard (see appendix 1) may influence the calculation but are considered to be less significant. These other factors shall not influence the audit duration by more than 30% from the total calculated audit duration.

The interview programme based on number of employees is attached for reference as appendix 2

2.1 Calculation of audit duration for the Full ETRS audit

N° employees	Size of manufacturing facility			
	<10k sq. m	10k-25k sq. m	>25k sq. m	>50k sq. m
1 - 100	8	8	9	9
101 - 500	12	12	13	13
501 - 1000	14	14	15	15
1001 - 2000	18	18	19	19
>2000	20	20	21	21

Additional time allocation for sites where employee interviews are conducted through an interpreter

N° employees	Additional time (in hours)
1 - 100	2.5
101 - 500	6
501 - 1000	8.5
1001 - 2000	12.5
>2000	14

Any deviation from the calculated audit duration needs a valid justification which is recorded on the audit report.

2.2 Calculation of audit time for Surveillance audits against ETRS

N° employees	Size of manufacturing facility			
	<10k sq. m	10k-25k sq. m	>25k sq. m	>50k sq. m
1 - 100	4	4	5	5
101 - 500	6	6	7	7
501 - 1000	7	7	8	8
1001 - 2000	9	9	10	10
>2000	10	10	11	11

Additional time allocation for sites where employee interviews are conducted through an interpreter

N° employees	Additional time (in hours)
1 - 100	1
101 - 500	3
501 - 1000	4
1001 - 2000	6
>2000	7

Any deviation from the calculated audit duration needs a valid justification which is recorded on the audit report.

3 Recording audit duration

A typical audit day shall be 8 hours (not including lunch breaks) and should not exceed 10 hours, except where there are exceptional circumstances.

On-site audit duration should be stated in total man hours (using whole numbers e.g. 17 not 16.5) giving the time at the site conducting a BRCGS audit.

The start and finish times each day shall be clearly stated on the audit report and reflect the actual times at the site. These should be agreed as correct between the auditor and the authorised site representative i.e. the site should sign a record of the start and finish times, for each day of the audit, a copy of which must be retained by the certification body. (This may be combined with other audit documentation, for example, by adding the information to the non-conformity record sheet).

Allowance should be made (to deduct time) where audit teams are used and both auditors are present e.g. at the opening and closing meetings. Those personnel not 'auditing independently' should not be included within the total time calculation e.g.:

- Witness auditor
- Trainee auditor

Where a combination of audits has been undertaken e.g. BRCGS Food and ETRS, then a calculation for the total time taken for the ETRS audit only should be stated.

BRCGS expect that additional time is allocated over and above the minimum time for the ETRS audit whenever a combination audit is undertaken.

The total hours shall not include any calculation for writing of the final audit report away from site. This is additional time and is typically 4 – 8 hours.

Appendix 1

Other factors which may influence the duration of the audit are:

- The inclusion of worker accommodation
- The need to assess related off site facilities
- whether it is an Initial Full Audit
- a lack of information provided prior to the audit or significant variance on the information provided, as specified in the previous section
- the number of non-conformities recorded in the previous audit
- difficulties experienced during the audit requiring further investigation
- the quality of site preparation, such as the availability of documentation or workers for interview.

Appendix 2

Worker Interviews and Sample Size

A key component of the audit process shall be the interviews with workers.

Individual worker interviews typically take between 10-15 minutes. Group interviews typically take longer. Both individual and group interviews must include a representative sample of people, departments and worker shift patterns within the site including permanent, temporary, agency or migrant workers. The audit team shall use their discretion and consider industry, location and site knowledge when defining the number of workers to interview.

The following table sets out the expected sample size individual and group worker interviews which include all shift patterns, as well as a sample size for review of files, including time and wage records.

Table 1: Calculation of the total number of worker interviews required

No of workers excluding management	Minimum number of individual interviews (to include all shift patterns)	Minimum number of group interviews (to include all shift patterns)	Total employees interviewed	Worker files / time & wage records checked per month
1-100	6 or all workers if less than 5	1 group of 4	10	10
101-500	6	4 groups of 5	26	26
501-1,000	12	6 groups of 5	42	42
1,001-2,000	20	8 groups of 4	52	52
2,000+	22	8 groups of 5	62	62

If a site has more than 2,000 workers, the number of interviews is determined on a case by case basis depending on the circumstances of the facility. The suggested 62 workers are a minimum and it shall increase as worker numbers increase.

In addition, for sites with non-employee workers (including any worker on site who is not directly employed by the site such as agency workers or sub-contractors), the following breakdown:

Table 2: Calculation of the number of non-employed worker interviews required

Non-employee worker number	Non-employee worker interview sample
1	1
2	2
3-7	3
8-48	4
49-54	5
55-64	6
Increases of 10 workers	Increase by 1 additional non-employee worker
245+	Maximum 25

The workers that participate in the individual or group interviews shall be included in the samples of personnel/worker files and records that are checked. Enough additional worker files and records shall be sampled to ensure that all types of workers are reviewed.