

挪亚检测认证集团有限公司

NOA Testing & Certification Group Ltd

多场所认证管理要求

Management Requirements for Multi-site Certification

文件编号：NOAQC/NSH/S/OD-06

编写主责部门：市场部

版次	修订章节及主要修订内容概述	首次/修订生效日期	审核/核准
1/0	首次发布	2012. 8. 28	总经理
4/9	修改引用文件名称及编号	2024. 3. 21	段利/杨万霞
评审部门		使用部门	
市场部 合规技术部 总经办		市场部 审核部 技术委员会	

多场所认证管理要求

Management Requirements for Multi-site Certification

1 目的 Purpose

明确多场所的理解、可能的多场所和多场所抽样的原则，对多场所组织的评定、多场所的抽样审核、多场所的审核时间、多场所组织及各多场所在认证证书的表达进行规定，满足 ISO/IEC17021 《管理体系认证机构要求》(CNAS-CC01)、IAF-MD 1 《多场所组织的管理体系审核和认证》(CNAS-CC11)等的要求。

It is to define the understanding of multi-site, possible multi-site and the sampling principle and stipulate the assessment of multi-site, sampling audit, audit duration, and how to express each location on the certificate, which meet the requirements of ISO/IEC17021 “Management System Certification Body Requirements” and IAF-MD1:2018 “Multi-site Certification Requirement Based on Sampling”(CNAS-CC11).

2 范围 Applicable scope

本管理要求适用认证公司各认证领域对多场所组织认证申请的评审受理、认证审核、认证评定及认证证书表达。产品认证不适用此管理要求。认可方案有特定要求的需满足认可方案要求（如 FSMS,ISMS,HSPM 等）。

It applies to the review and acceptance, certification audit and certification decision and the expression on the certificate. Accredited programs have specific requirements that need to meet accreditation program requirements (eg, FSMS, ISMS, HSPM, etc.).

3 定义 Definition

3.1 组织：Organization:

有统一职责、关系、权威以实现一致目标的一个人或一群人。

Person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives.

3.2 固定场所 Permanent Site

客户组织执行工作或持续提供服务的场所（物理或虚拟）。

Site (physical or virtual) where a client organization performs work or from which a service is provided on a continuing basis.

3.3 临时场所 Temporary Site

客户组织为在有限时期内从事特定工作或提供服务的场所（有形或虚拟），并且不打算成为固定长期场所。（例如施工现场）

Site (physical or virtual) where a client organization performs specific work or from which a service is provided for a finite period of time and which is not intended to become a permanent site.(such as the construction site)

3.4 多场所组织: Multi-site Organization

是指组织有统一的管理体系，一个确定的中心职能机构（以下称作中心办公室，但不一定是组织的总部）来策划、控制或管理某些活动，并且有一个由地方办公室或分支（即场所）组成的网络来实施（或部分实施）这些活动。

An organization covered by a single management system comprising an identified central function (not necessarily the headquarters of the organization) at which certain processes/activities are planned and controlled, and a number of sites (permanent, temporary or virtual) at which such processes/activities are fully or partially carried out.

注 1：多场所组织可有多个法律实体，但全部场所与总部有法律或合同上的联系；

Note 1: multi-site organization can have multiple legal entities, but all sites shall have a legal or contractual connection with headquarter.

注 2：属于一个共同的管理体系；

Note 2: it belongs to one management system.

注 3：总部及各场所进行了统一的内审、管理评审，中心办公室有权要求各场所在必要时采取纠正措施。

Note 3: headquarter and each site have implemented internal audit, management review, and central office has the right to require each site to take corrective actions if necessary.

3.5 中心职能 Central Function

负责集中控制管理体系的功能

The function that is responsible for and centrally controls the management system

3.6 虚拟场所 Virtual site

客户通过在线环境执行工作或提供服务的虚拟位置，允许来自不同物理位置的人员执行流程。

Virtual location where a client organization performs work or provides a service using an on-line environment allowing persons from different physical locations to execute processes.

3.7 子范围 Sub-scope

单一场所的范围

The scope of a single sit

3.8 最高管理者 Top Management

直接控制组织的最高层，可以是个人或一组人。

Person or group of people who directs and controls an organization at the highest level.

4 职责 Responsibility

4.1 市场部负责确定申请认证的组织是否为多场所组织，并要求被审核方提交临时/多场所清单；

Marketing department is responsible for ensuring whether the application organization has multi-site and is required to submit all sites list.

4.2 审核部根据被审核方确认的临时/多场所清单，进行审核方案策划并确定审核员时间。将相关信息传递给审核组，审核组负责按多场所组织审核要求实施审核。

Audit department makes audit programme and determine the audit duration according to the temporary/multi-site list confirmed by audited party, and transmits relevant information to audit team. Audit team is responsible for implementing audit in accordance with audit requirements for multi-site organization.

4.3 认证决定人员负责依据多场所组织认证要求评审全部认证审核资料，并做出认证决定。

Decision maker is responsible for making the certification decision depending on reviewing all certification audit documents required by multi-site certification and make the decision.

5 多场所认证要求 Requirements of multi-site

5.1 基于抽样多场所的判定 Determination of multi-site based on sample

5.1.1 判定原则 Determining principle

a) 全部场所提供的产品、服务本质上应是同一种类，应基本上按相同的方法和程序生产。

Product and service provided by all site shall belong to the same kind in nature and be produced as the same method and procedure basically.

b) 有证据表明组织总部已按照审核标准建立了管理体系，并且整个组织满足标准要求，其中应包括对相关的法规的考虑。

There is evidence to prove that organization headquarter has established management system as audit standard, and the whole organization meets the standard requirements, which shall consider relevant regulations.

c) 组织的管理体系应按集中控制计划进行统一管理并接受总部的管理评审。全部相关场所

（包括中心管理职能）在接受认证机构的审核前应按照组织的内部审核方案进行了审核。

Management system of multi sites organization shall take unit management as centralized control plan and accept the management review of headquarter. All relevant sites (including central management function) shall have implemented internal audit as the internal audit plan of organization before accepting the on site audit of our company.

d) 组织有能力从包括总部和它的行政管理机构在内的全部场所收集和分析数据（包括：体系文件和体系变化、管理评审、投诉、纠正措施的评价、内部审核策划和结果评价、环境因素/危险源的变化和关联影响、不同的法律要求等），并证明其在需要时有权力和能力进行组织变更。

Organization has competence for collecting and analyzing data (including system document and system changes, management review, complaint, evaluation on corrective actions, internal audit planning and result evaluation, changes of environment aspects/hazardous origin and relevant influence, different law requirements etc.) from all sites including headquarter and its administration body, and proves that it has right and able to make the change for organization necessary.

5.1.2 可能有下列固定多场所的组织（不限于此）：

Organizations that may have following fixed multi-site (but not limit):

a) 组织的分支-----例如：集团下属公司、勘察分公司（勘察分院）、设计分院、研究分院；

Organization's branch such as branch of group, investigation branch (investigation branch institute), design branch institute, research branch institute

b) 具有相同产品实现和服务提供过程的分厂、分车间、分队、分站等；

Branch plant, branch workshop, branch team, branch station which have common product realization and service providing process

c) 销售网络（商业连锁店）； Sale network (commercial chain store)

d) 制造企业的销售网络； Sale network of manufacturing company

e) 物业管理的项目； Project of property Management

f) 特许经营组织； Franchising organization

g) 服务性组织的固定服务网----供热、供汽、供电、电梯运行；

Fixed service net of service organization----heat supply, gas supply, electricity supply, elevator operation

h) 金融组织的分支----如分理处、储蓄所等。

Branch of financial organization such as branch office and saving bank

5.1.3 可能有下列临时多场所的组织（不限于此）：

Organizations that may have following temporary multi-site (but not limit):

a) 建设、安装/组装/维修临时现场；

Construction, installation/assembling/maintaining temporary site;

b) 建设、安装监理项目； Construction and installation of supervision project;

c) 工程勘察、地质勘察/勘测项目；

Engineering investigation, geological investigation/investigation project;

d) 房地产开发项目； Real estate development project;

e) 石油测井、固井、录井现场； Oil welling, cementing and logging sites;

f) 楼宇智能化施工现场； Building intelligent construction work site;

g) 服务性组织的临时服务网—供热、供汽、供电、电梯运行。

Temporary service net of service organization----heat supply, gas supply, electricity supply, elevator operation;

h) 交通运输线路； Transportation route;

i) 旅游线路。 Travel routes.

5.1.4 不是所有满足“多场所组织”定义的组织都可以被抽样

Not all “multi-sites organization” can be sampled.

不是所有的管理体系标准都适合进行多场所认证。例如，如果标准要求对存在差异的地方性因素进行审核，多场所抽样将是不适宜的。一些认证方案还有自己的具体规定，例如汽车行业（TS 16949）和航空业（AS 9100）的质量管理体系认证方案，此时应优先遵守认证方案本身的要求。NOA现未开展TS和AS业务。IECQ HSPM认证现场审核不允许实施多场所抽样。食品安全管理体系FSMS现场审核多场所抽样方案详见《NOAQC UD-29食品安全管理体系认证要求补充程序》。

Not all management system standards are suitable for multi-site authentication. For example, it would be inappropriate for a multi-site sampling if the criteria were to be examined for local factors that differ. Some certification schemes also have their own specific rules, such as AS automobile industry (TS 16949) and (9100) AS the aviation industry quality management system certification scheme, the priorities to comply with the requirements of the certification plan itself. NOA does not carry out TS and AS business. IECQ HSPM certification site audits are not allowed to implement multi-site sampling. For details of the Food Safety Management System FSMS on-site audit

multi-site sampling programme, can be perceived in <NOAQC UD-29 Food Safety Management System Certification-required Supplementary Procedure>.

5.1.5 增加场所

如果对已认证的多场所组织增加新场所或增加一组新的场所，审核方案策划人员应确定在证书中增加这些场所前所需实施的必要活动。包括考虑是否对新场所审核。在新场所纳入证书后，需要重新确定后续监督或再认证审核的抽样数量。针对多场所的客户，认证证书中应清楚列明所有场所的地址和认证范围，当某一场所的活动仅是包含于组织范围内的一部分，认证证书应列明该场所的子范围或活动。如果涉及的场所是临时场所，应该在认证证书上予以标识。If the multi-site organization need to add a new site or a series of sites, the audit planner should decide what are the necessary activities before adding these sites to the certificate. This includes considering whether to audit the new site. After the new site is added to the certificate, the number of samples for subsequent supervision or recertification audits needs to be redefined. For multi-site customers, the certification certificate should clearly list the addresses and certification scopes of all sites. When the activities of a certain site are only part of the scope of the organization, the certification certificate should list the sub-scopes or activities of that site. If the location involved is a temporary location, it should be marked on the certificate.

5.1.6 对于不适用于场所抽样的多场所组织的审核 Methodology for Auditing of Multi-site Organizations Where Site Sampling is not Appropriate

5.1.6.1 初次/再认证审核时应对所有场所进行审核。监督审核时，应在每个日历年覆盖 30% 的场所（向上取整至整数）。每次审核都应包括中心职能。通常，第二次监督审核选取的场所通常不同于第一次监督审核所选取的场所。

The audit programme shall consist of an initial audit and recertification audit of all sites. In surveillance audits, 30% of sites, rounded up to the whole number, shall be covered in a calendar year. Each audit will include the central function. The sites selected for the second surveillance audit will normally be different from the sites selected for the first surveillance audit.

5.1.6.2 审核方案策划应确保在认证范围覆盖的所有过程在每个认证周期内被审核到。The audit programme shall be designed to ensure that all processes covered by the certification scope are audited over each cycle.

5.1.6.3 如果对已认证的多场所组织增一个新场所，除了在审核方案中策划监督之外，该场所应在被增加到证书之前被审核到。在新场所纳入证书后，为确定后续监督或再认证审核的审核时间应将其与以前的场所累计。On the application of a new site to join an already certified

multi-site organization, the site shall be audited before being included in the certificate, in addition to the planned surveillance in the audit programme. After inclusion of the new site in the certificate, it shall be cumulated with the previous ones for determining the audit time for future surveillance or recertification audits.

5.2 多场所组织的认证的实施 Certification implementation for multi-site organization

5.2.1 答复询问 Answering questions

市场部在接到客户的询问时，应将多现场审核的条件、抽样原则、收费、认证范围及其他有关信息通告组织；

Marketing department shall inform the audit conditions, sampling principle, charges, certification scope and other relevant information to organization when receiving the questions of client.

5.2.2 合同评审 Contract review

a) 市场部/审核部/合同评审人员在合同评审时应充分识别申请组织存在的多场所和有无临时场所，并在合同评审记录中予以明确，并将组织的信息及“多场所申请表”或“临时场所/项目申请表”传递审核组。另外还应注意：

Marketing department/audit department/contract reviewer shall sufficiently identify the multi-site of organization and whether it has temporary site when conducting the contract review, and transmit the information of organization and the “multi-site application form” or the “temporary site/project application form” to audit team. In addition, it shall note that:

行业范围和识别申请组织的管理体系所覆盖的活动的复杂性和规模以及各现场之间的差别；

Industry scope and to identify the complexity and scale of activity covered by organization's management system and the difference among each site

· 组织的总部作为实施认证的合同方，各场所管理体系实施存在的差异，如不同的活动、合同和法规的要求；

Headquarter organization contract party for implementing the certification, differences of implementing management system of each site such as the requirements of different activities, contract and law

· 组织的临时现场情况； Temporary site situation of organization

· 对拟申请认证的活动所涉及的所有现场不准备同时进行认证时，合同评审时应在记录中注明证书范围内的现场名称。

When all sites related to activities of proposed application certification are not implemented

simultaneously, contract review shall make a clear explanation in the record for the site name within the certificate scope.

b) 多场所组织的认证申请人在提出认证申请时应按要求如实填报“多场所申请表”或“临时场所/项目申请表”，如有漏报项目，应在现场审核之前及时向审核部补报，如确认漏报项目已影响到审核结论的客观性、有效性，认证公司将保留补充审核、撤消认证证书等措施的权利；
The applicant of multi-site organization shall accurately fill in the “multi-site application form” or “temporary site/project application form” as requirements when submitting the certification application. If there is any omission, it shall supplement that in time before the on site audit. And if this omitted content affect the objectivity and effectiveness of audit conclusion, our company shall reserve the rights of supplementing audit, withdrawing certificate etc.

c) 审核项目管理人员应根据场所所处位置、抽样原则等，合理策划含有多场所/临时场所组织的审核人日。在实施抽样方案时，只要有抽样准则中的任何一方面未得到满足，均不能以抽样的方法实施评定；

Audit programme management personnel shall reasonably plan the audit duration of organization with multi-site/temporary site according to the location of site and sampling principle. When implement sampling programme, any one of the sampling principle does not be satisfied the audit can be not implemented according to the sampling programme.

d) 当申请方要求发放子证书时，应在申请时明确提出要求。市场部/审核部/合同评审人员在合同评审时应识别此需求信息，并传递至审核组。

When application organization requires the sub-certificate, it shall provide the definite requirement in application, and marketing department/audit department/contract reviewer shall identify this need on the process of contract review and send it to audit team.

5.3 审核的实施 Audit implementation

5.3.1 审核计划和准备 Audit plan and preparation

a) 审核部根据合同评审的结果、抽样准则的要求，确定抽样和总人日数；

Audit department determine sampling quantity and total audit duration according to the result of contract review and requirement of sampling principle.

b) 通知审核组长、成员和申请组织；

To inform lead auditor, members and application organization

c) 必要时可进行初访或预审核（预审可通过面对面或电视电话会议的方式，与客户及（或）其顾客进行访谈，或者参与他们的进度会议；远程访问时需包含同管理体系与临时场所的评

审有关的记录或其他信息的电子化场所；亦可对临时场所的活动实施文件审查。上述方法仅限于 OHSAS 风险控制无关的部分。）

If necessary, it shall conduct initial visit or pre-audit (Pre-audit can be through interviews or progress meetings with the client and/or its customer in person or by teleconference; Remote access to electronic site(s) that contains records or other information that is relevant to the assessment of the management system and the temporary site(s); Document review of temporary site activities can also be applied. Methods above are limited to the parts irrelevant to OHSAS risk control.)

d) 审核组宜完整地记录审核方法，并充分证明审核方法的有效性。

If necessary, it shall conduct initial visit or pre-audit.

5.3.2 文件和一阶段的审查 Documents review and the stage 1 audit

a) 文件审查时应注意须符合从总部扩展至各现场的要求；

On the process of document review, it must note the requirements of requirement for all sites covered by headquarter.

b) 各现场的文件应与总部的要求协调一致；

Document of each site shall be consistent with the requirement of headquarter.

c) 是否进行过统一的管理评审和执行总部的内审方案；

Whether the unit management review and internal programme of headquarter have been implemented

5.3.3 多场所/临时抽样审核的原则 Sampling principles of multi-site/temporary site audit

a) 涉及 QMS 和 EMS, 多场所组织的各场所的产品/服务过程属于同一类别, 且产品实现过程、服务提供/环境因素或影响基本上相同, 可实施抽样。涉及 OHSMS 覆盖多个场所的情况, 应基于与活动和过程的性质相关的 OHS 风险程度的评价, 确定认证范围内的每个场所可否抽样。虽然一个场所与其他场所有类似的过程或制造类似的产品, 但审核方案策划人员应考虑每个场所的业务活动 (技术、设备、使用和存储的危险材料的数量、工作环境、场所等) 之间的差异。当允许抽样时, 审核方案策划人员应确保将被审核的场所样本具有被审核组织现存的过程、活动和 OHS 风险的代表性。审核项目策划人员应记录进行多场所抽样审核理由和保存每次多场所抽样的记录。对每个场所的审核时间计算和访问的频次应基于 IAF-MD5 的要求。

For QMS and EMS, each site's product/service belongs to same kind, and the process of product realization and service providing/environment aspects and impact are basically same, which can implement the sampling on site. In the case of OH&SMS operated over multiple sites it is necessary to establish if sampling is permitted or not based on the evaluation of the level of OH&S risks

associated to the nature of activities and processes carried out in each site included in the scope of certification. Although a site performs similar processes or manufactures similar products to other sites, the NOA shall take account of the differences between the operations of each site (technology, equipment, quantities of hazardous materials used and stored, working environment, premises etc.). When sampling is permitted the audit programme management person shall ensure that the sample of sites to be audited is representative of processes, activities and OH&S risks that exist in the organization to be audited. The audit programme management person shall record the sampling judgment and keep the records. The audit time for each site shall be calculated and the frequency of visits shall be based on the requirements of iaf-md5.

b) 如果多场所组织存在不同等级的分支机构，即组织分支机构具有多层次时(如:总部/国家分部/地区分部/地方分部),各层次都要满足抽样量要求。

When organization branch has multiple levels (such as headquarter/national branch/ geographic branch/local branch), each level shall meet the requirements of sampling quantity.

c) 抽样要覆盖审核范围中的产品、活动和场所。监督审核如实在无审核范围中相关产品和活动的场所，可以审核一年之内客观证据的资料，审核结果必须在检查表上详细记录。

The sampling shall cover the product, activity and location within audit scope. If surveillance really does not have the one product or location activity in audit scope, it can conduct the audit the documents and operation records of objective evidence within one year, and audit results shall be recorded detailed in the audit record.

d) 增加一组新场所时，应独立确定样本量。以后的监督审核和再认证再与原来的场所一同抽样。

When adding a group of new location, it shall determine the sampling quantity independently. The following surveillance and recertification can be sampled with original location together.

e) 每次审核、包括监督审核和再认证审核都必须对总部和最高管理层进行审核。

Each audit including surveillance and re-assessment must conduct audit for headquarter and top management.

f) 现场的选择不一定在审核计划编制时完成，也可以在现场审核时确定。任何情况下，均应通知被审核方总部被抽样的现场，以便有足够的审核准备时间。

Site selection is not always completed when making the audit plan, and it is also can be determined in on-site audit. In any case, it shall inform the sampled site to headquarter of audited party so as to have the sufficient time to prepare audit.

g) 作为受审核方全部活动的评价，临时多场所的审核（包括抽样原则）与固定多场所相同。

As the evaluation on all activities of application organization, the audit for temporary multi-site (including sampling principle) and the fixed multi-site are same.

h) 当新的现场需要追加到已认证的多现场时，每批新现场都应视为独立的一组确定样本量。在认证证书包括新现场后，往后的监督和再认证，应将新增加的现场数加上以前的现场数来确定样本量。

When new site needs to cover the certified multi-site, each batch of new site shall be regarded as an independent group when determine sampling quantity. After the certificate includes new site, the sampling quantity of following surveillances and recertification shall be determined according to the quantity of new increased sites adding previous quantity.

i) 如果有多个场所没有涵盖相同的活动、过程及 OHSAS 风险，抽样不适用。

Where there are multiple sites not covering the same activities, processes and OH&S risks, sampling is not appropriate.

5.3.4 多场所抽样样本的选择 Selection of multi-site samples

样本的选择应具有代表性和包含随机抽样的成分。25%的样本应以随机的方式进行抽取；在选取剩下的样本时宜考虑到下面条款的规定（但不限于以下方面），并使在证书有效期内选择的场所之间具有尽可能大的差别。：

The selected sample should be representative including samples be sampled randomly, 25% samples should be sampled randomly, as for the remaining samples shall consider the following factors but not limited, and try best to sample each most different sits within one validation period.

- 内部现场审核和管理评审或以往认证审核的结果；

Internal audit and management and previous certification result.

- 投诉记录以及纠正措施和预防措施的其他相关方面；

Complain records and corrective and preventive actions and other aspects

- 各场所在规模上的显著差异；

The significant difference among each site scale

- 在倒班安排和工作程序上的差异；

The shift arrangement and the difference of the working procedures;

- 场所的管理体系和过程的复杂程度；

Site's management system and the complexity of process

- 上次认证审核以来的变化；

The changes since the last audit

- 管理体系的成熟度和组织的理解程度；

Maturity of management system and understanding level of organization

- 对于环境管理体系，考虑环境问题和环境因素及其关联影响的程度；

As for EMS, considering the environmental problem and aspects and associated degree of influence.

- 文化、语言 and 法律法规方面的差异；

Difference among the culture, language and laws and regulatory

- 地理位置的分散程度。

Geographically dispersed degree

5.3.5 多场所抽样的样本量 Sampling quantity of multi-site

每次审核抽样的场所的最低数量为：

The minimum sample of each audit should be:

- a) 初审：样本应当为现场数量的平方根（ $Y=\sqrt{X}$ ）取整到上界的整数。

Initial audit: the sampled quantity shall be the integer of the square root of all site quantity.

- b) 监督审核：每年度的样本应当为现场数量的平方根乘以系数 0.6（ $Y=0.6\sqrt{X}$ ）后取整数。

Surveillance: each annual sampled quantity shall be the integer that the square root of all site quantity multiply the ratio 0.6 ($Y=0.6\sqrt{X}$)

- c) 再认证：样本数应与初审相同，如果体系在三年获证期间被证明是有效率的，样本量可减少至现场数量的平方根乘以系数 0.8（ $Y=0.8\sqrt{X}$ ）取整至上界的整数，总部每次必须审核。

Recertification: the sampling quantity is same as initial audit. If system is proved to be effective during certification of three years' cycle, the quantity can be reduced to the integer that the square root of all site quantity multiply the ratio 0.8 ($Y=0.8\sqrt{X}$), but the headquarter must be audited in every audit.

5.3.6 多场所抽样的样本量也应根据体系所覆盖活动的风险分析结果增加或减少 5.3.4 条款的样本量（Y）。考虑风险因素的样本量（Q）的计算公式为： $Q=KY$ ，K 为风险系数，Q 取整至上界；风险系数的确定具体见附件 1 的内容。

The sampled quantity of the multi-site shall increase or reduce the quantity defined in clause 5.3.4 based on the activity risk analyzing results cover by system. The calculation formula of sample quantity with consideration of risk aspect is that: $Q=KY$, the K is the risk ratio and the Q takes the integer to upper bound. The determination of risk ratio refers to annex 1.

如果对拟认证或获证管理体系涵盖的活动进行风险分析，发现有涉及下列因素的特殊情况时，

宜增加抽样的数量或频率：

For risk analysis for planed certification or certification management system covered activity, if find the special situations for following factors, should increase the number of samples or frequency

- 场所的规模和员工的数量（例如一个场所的员工超过 50 名）；

Site scale and number of employees (such as one site employee exceed 50 persons)

- 活动和管理体系的复杂程度和风险水平；

Degree of complexity and risk level of activity and management system;

- 工作方式的差异（例如进行倒班）；

Working method difference such as shift

- 所从事活动的差异；

The difference of performed activity;

- 对于环境管理体系，环境因素及其关联影响的重要性和程度；

As for EMS, the importance and degree of the environmental aspects and relevant influence

- 投诉记录，以及纠正措施和预防措施的其他相关方面；

Complain record, and corrective and preventive and other aspects

- 与跨国经营有关的任何方面；

Any associated with the transnational operation

- 内部审核和管理评审的结果。

The results of internal audit and management review.

5.3.7 多场所审核时间 Multi-site audit duration

a. 无论是可抽样场所构成、不可抽样场所构成，或由这两种情况组合构成，审核方案策划人员/审核组应根据每个场所的具体情况合理分配各场所的审核时间。

An organization that satisfies the eligibility criteria may consist of sites that can be sampled, sites that cannot be sampled or a combination of both. Audit programme management personnel / audit team shall allocate proper audit duration for each site based on specific situation.

b. 审核方案策划人员/审核组应依据《审核活动工作人日管理要求》，对每个场所（包括中心办公室）计算人日数。

Audit programme management personnel / audit team shall determine the duration for each site (including the centre office) based on “Audit Duration Management Requirements”.

c. 如果中心办公室和（或）分场所不适用标准的某些条款，可以考虑减少人日数，但进行大多数过程或关键过程的场所的人日数不能减少。审核方案策划人员应记录减少人日数的理由。

If the centre office and/ or sub-site isn't applicable some clauses in the standard, shall consider reduction the audit duration, but the major process or key process site, the duration can not be reduced, the audit programme management person shall record the judgment of duration.

d. 初次审核和监督所用的总时间为用在每个场所和中心办公室的时间之和，而且绝不宜少于将所有的工作都集中到一个场所进行（即组织的所有员工都在同一个场所）时根据运作的规模和复杂程度计算出的审核时间。

The total duration of initial and surveillance shall be the total duration of each site duration adding central office duration, and the duration can not be less than that all of works operated in one site (that is all of employees work in one location) which the duration determined based on it's scale and complexity.

e. 单个被抽样场所审核时间的减少量不应超过50%。

The reduction of audit time per sampled site shall not be greater than 50%.

5.3.8 多场所组织的总部及整个网络的认证审核/监督审核，应由同一审核组同一名审核组长完成。特殊情况下由多个审核组参与审核时，应由审核部确定一名审核组长负责汇总各审核组的审核发现，进行纠正措施跟踪验证，并最终提交综合的审核报告；

The certification audit/surveillance for headquarter and whole network of multi-site organization shall be completed by the same lead auditor of the same audit team. In special situation, audit department many assign several audit team to carry out the audit for all site, and audit department shall appoint one lead auditor to collect all audit teams audit findings and verify the corrective actions and submit the final comprehensive audit report to audit department.

5.3.9 如抽样的场所总数与项目清单不一致，要在计划中说明。

If totals of the sampling sites are inconsistent with the project list, it shall explain in the audit plan.

5.4 不合格项的处理与跟踪 Processing and tracing of nonconformity

5.4.1 审核组长对单独的现场的审核发现，应调查其他现场是否受到影响，是否是整个体系的缺陷。如果是，应要求组织在总部和所有现场采取纠正措施；如果不是，应要求组织说明其影响的有限度，可只在该现场采取后续的措施；

For the audit findings of single site, the lead auditor shall survey that whether other sites are affected and whether it's the defect of entire system. If so, it shall require organization to take corrective actions on headquarter and all sites while if not, organization shall explain the limitation of the impact and only take following actions on this site.

5.4.2 审核组长应要求组织提供采取措施的证据，必要时提高监督的频次和（或）样本数量，

直到确信被审核方已重新建立了控制。

Leader auditor shall require organization to provide the evidence for taking actions and increase the frequency of surveillance and (or) sample quantity if necessary until it is ensured that the audited party has newly established control.

5.5 资料审查和认证决定 Document review and certification decision

a) 资料审查组应对审核资料的完整性进行审查；

Document review group shall review the completeness of audit documents.

b) 技术委员会在做认证决定时，发现任何一个现场仍存在不合格未关闭，应拒绝向整个网络颁发证书，直到组织采取令人满意的纠正措施为止。

When decision maker carry out certification decision, it shall refuse to issue certificate to entire network if the nonconformity is not closed on any one site, until the satisfied corrective actions are taken by organization.

c) 不允许组织为了克服由单一场所存在的不符合造成的认证障碍，在认证过程中力图把有“问题”的场所排除在认证范围之外。

Organization is not allowed to exclude the site with “problem” from the certification scope in order to overcome the certification obstacle caused by the nonconformity in single site.

5.6 多场所组织的认证文件管理

Certification document management of multi-site organization

5.6.1 如果审核组对认证范围内的每个场所都进行了审核，或使用本文件规定的抽样方法对认证范围内的场所进行了审核，那么公司颁发的认证文件可以覆盖认证范围内的每个场所。

If audit team has implemented the audit for each site within certification scope or conducted the audit for all sites by the means of sampling which is specified in this document, the certification file issued by our company can cover each site of the certification scope.

5.6.2 认证文件应包含组织中心办公室的名称和地址，以及该认证文件涉及的所有场所的清单。认证文件的范围或文件上的其他索引信息应明确由清单中的多场所网络实施的获证活动。如果场所的认证范围只是整个组织认证范围的一部分，认证文件应明确说明每个场所的适用范围。如果认证范围包含临时场所，认证文件中应注明该场所为临时场所；

Certification file shall include the name and address of organization's central office and the list of all sites related to this file and the scope of certification file or other index information in the file shall definitely contain the certified activities implemented by multi-site network of the list. If certification scope includes temporary site, this site shall be noted in the document file.

5.6.3 公司可以为组织认证范围内的每个场所颁发认证文件（子证书），但前提条件是每个场所的认证文件应含有相同的范围，或该范围的一个分范围，并应明确地引用主认证文件。子证书应清楚地引用主认证证书编号，即在主认证证书编号后加“—1、—2、—3、……”来表示子证书编号；

Our company can issue the certification file (sub-certificate) for each site within the certification scope, but the pre-condition is that the certification file of each site shall contain same scope or a branch of this scope and shall definitely give the reference to the major certification file. The sub-certificate shall clearly give the reference to the number of major certificate, that is, it adds the “—1、—2、—3、……” behind the number of the major certificate which serves as the number of sub-certificate.

5.6.4 如果组织的中心办公室或任何场所不满足保持认证的必要条件，公司应撤销所有认证文件；

If organization's central office or any site do not satisfy the necessary conditions that maintain the certification, our company shall withdraw all certification files.

5.6.5 公司应保持获证组织场所的最新清单。为做到这一点，公司应要求获证组织在关闭认证所覆盖的任何场所时告知本公司。获证组织未能提供上述信息，将被认为是误用认证标志；

Our company shall maintain the latest list of certified sites. In order to achieve this task, it shall require certified organization to communicate that to our company when any site of the certification scope is closed. If not, it will be regarded as misuse of certification mark.

5.6.6 监督审核和再认证时要对组织已关闭的场所和增加的场所（不包括临时场所）在“证书确认单”中向认证决定人员说明，并附上增加的多场所的情况说明，内容包括名称、地址（区域）、产品和基本过程，以更改证书或证书附件的表达（添加新增加的场所，取消已关闭的场所）；

When implementing the surveillance and recertification, the closed site and the added site (excluding temporary site) shall be explained in the “certification confirmation list” to certification decision-maker and the description of added multi-site shall be attached. And the description shall include name, address (region), product and basic process in order to change the expression of certificate or certificate annex.

6 引用文件及记录表单 References and records

6.1 ISO/IEC17021 《管理体系认证机构要求》

ISO/IEC17021 “Management System Certification Body Requirements”

6.2 IAF MD1 《基于抽样的多场所认证》

IAF Mandatory Document for the Certification of Multiple Sites Based on Sampling

6.3 [NOAQC/NSH/S/WI-22](#) 《审核活动工作人日管理要求》

[NOAQC/NSH/S/WI-22](#) “Audit Duration Management Requirements”

Annex 1:

多场所风险系数

Multi-site Risk Factor

质量管理体系多场所抽样的风险系数 (K)

Risk factor (K) of multi-site sampling for QMS

K	多场所 Multi-site	临时场所 Temporary site
K=1	a.集团下属公司（一般行业） Subordinate company of group (general industry) b.具有相同产品实现过程的分厂、分车间、分队、分站、分处等 Company with branch plant, branch workshop, branch team, branch station, branch office etc, which have the same product realization c.设计分院、研究分院 Design branch institute, research branch institute d.销售网络（商业连锁店） Sale network (commercial chain store) e.制造企业的销售网络 Sale network of manufacturing company f.物业管理项目 Project of facility Management Franchising organization g.特许经营组织 Franchising organization h.金融组织的分支——分理处、储蓄所等 Branches of financial organization such as branch handling office, saving bank etc	a.房地产开发项目 Real estate development project b.石油测井、固井、录井现场 Oil welling, cementing and logging sites c.建筑物的拆除 Removal of Buildings d.勘察、地基 Investigation and foundation e.电气安装工程 Electric installation engineering f.隔离工程 Isolating engineering j.建筑物管道安装工程 Buildings piping installation engineering h.建筑物其他设备安装 Other equipment of buildings installation i.水泥瓦工作业 Cement and bricklayer operation j.精细木工作业 Cabinet work operation k.墙及地面装修工程 Wall and ground installation engineering l.油漆的喷涂和玻璃的安装 Paints spraying and glass installation m.建筑物的其他装饰工程 Other decoration engineering of buildings n.建设及拆除用设备出租(含操作人员) Rent of equipment used for construction and removal (including operation personnel)
K=1.1		a.一般建筑物的土建工程 Civil work of general building b.屋顶及框架工程 Roofs and framework engineering
K=1.2		a.公路、机场及运动设备的建设 Construction of road, airport and sport equipment b.水利工程 Hydraulic engineering

		c.特殊行业的建设工程 Construction engineering of special industry
K=0.7	a.楼宇智能化现场; Building intelligent site b.电梯运行与维修; elevator operation and maintenance c.供热、供汽、供电用户现场; User sites of heat supply, gas supply, electricity supply, d.交通运输线路; Transportation lines e.旅游线路; Travel routes	

环境管理体系多场所抽样的风险系数 (K)

Risk factor (K) of multi-site sampling for EMS

- 环境因素复杂程度等级为“低级”的认证项目，抽样量的风险系数 K=1

Certification project that its complexity of environment element is “low”, the “K” is equal to one.

- 环境因素复杂程度等级为“中级”的认证项目，抽样量的风险系数 K=1.1

The complexity is “medium”, and the “K” is equal to one point one.

- 环境因素复杂程度等级为“高级”的认证项目，抽样量的风险系数 K=1.2

The complexity is “high”, and the “K” is equal to one point two.

- 环境因素复杂程度等级为“有限”的认证项目，抽样量的风险系数 K=0.7

The complexity is “limit”, and the “K” is equal to one point seven

职业健康安全管理体系多场所抽样的风险系数 (K)

Risk factor (K) of multi-site sampling for OHSMS

- OHS 风险复杂程度等级为“低级”的认证项目，抽样量的风险系数 K=1

Certification project that its complexity categories of OH&S risks is “low”, the “K” is equal to one.

- OHS 风险复杂程度等级为“中级”的认证项目，抽样量的风险系数 K=1.1

The complexity is “medium”, and the “K” is equal to one point one.

- OHS 风险复杂程度等级为“高级”的认证项目，抽样量的风险系数 K=1.2

The complexity is “high”, and the “K” is equal to one point two.