



上海挪亚检测认证集团有限公司
Shanghai Noa Test & Certification Group Co., Ltd.

多场所认证管理要求

Management Requirements for Multi-site Certification

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多场所认证管理要求

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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《基于抽样的多场所认证》、IAF-MD19《不适用抽样的多场所组织的管理体系审核》CNAS-CC11《多场所组织的审核与认证》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 “Multi-site Certification Requirement Based on Sampling”, IAF MD19:2016 IAF Mandatory Document For The Audit and Certification of a Management System operated by a Multi-Site Organization (where application of site sampling is not appropriate).

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 FSM, 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, FSM, ISMS, HSPM, etc.).

3 定义 Definition

3.1 场所 Site

场所是指组织实施活动或提供服务的常设地点。

It refers to the frequent sites that organization implements activity or provides service.

3.2 临时场所 Temporary site

临时场所是组织为在有限的时期内进行特定工作或服务而设立的，且不会成为常设场所的场所（例如施工现场）。

Temporary site refers to the site that is established for carrying out specific work or service within the limited time, and it does not become frequent site(such as the construction site)

3.3 新增场所 Added site

在认证范围内的场所外增加的场所或一组场所。

One site or a group of sites is added in the outside certification scope.

3.4 多场所组织 Multi-site organization

多场所组织是指组织有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。

Multi-site organization means that organization has a determined central function body (calls central office in following can not be headquarter) to plan, control or manage some activities, and one local office or branch (site) form a network to implement (or partially implement) these activities.

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.

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, compliant, 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 可能有以下固定多场所的组织（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 可能有以下临时多场所的组织（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-site 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，但FSMS和HSPM认证均不允许多场所抽样。

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 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, but neither FSMS nor HSPM certification allows multi-site sampling.

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、撤销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，

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) 多场所组织的各场所的产品/服务属于同一类（一般情况下为相同专业小类），且产品实现过程和服务提供/环境因素及影响/职业健康安全危险源及风险基本上相同，可现场抽样，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。如果不同场所提供的产品/服务及其实现过程不属同一专业小类，产品实现过程和服务提供/环境因素及影响/职业健康安全危险源及风险不同，应分别对这样的场所进行审核。如果要缩减对每个场所正常的全面审核，应由审核部提出申请和理由，报管理者代表批准。

Each site's product/service belongs to same kind (generally, it is the same NACE code), and the process of product realization and service providing/environment aspects and impact/occupational and health safety hazardous origin and risk are basically same, which can implement the sampling on site. The audit programme management person shall record the sampling judgment and keep the records. If the product/service provided by different site and its realization process do not belong to NACE code and product realization and service providing/aspects and impact/occupational and health safety hazardous origin and risk are different, the audit shall be respectively conducted for them. If it needs to reduce the normal overall audit for each site, the audit shall make the application and reason which are reported to management representative for approval.

b) 多场所组织的各场所按小类抽样，即同一小类的场所可一起计算场所总数，不同小类的场所要分开计算现场总数；组织分支具有多层次时(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。

Each site if multi-site organization is sampled as NACE code, that is, the same NACE code scope site can be calculated together while the different NACE code site shall be calculated separately. 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网络时,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 network, 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.

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、语言和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. 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。

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.

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. 不能应用场所抽样的情况 No applicable for multi-site sample

认证方案中不允许场所抽样时，对具有多场所网络的组织的管理体系审核与认证。

When site sampling is not allowed in the certification scheme, the management system of an organization with a multi-site network is audited and certified.

在策划和实施过程中不适用场所抽样的情况。这可包括多种原因，例如：

- 所有的场所实施明显不同的活动；
- 客户要求对每个场所审核；
- 有专门的方案或法规要求规定了对每个场所系统性的审核。

关于组织的管理体系涉及单一的法律实体或多个法律实体的任何法律考虑通常与管理体系审核不相关，并且除非另有声明否则不包含于本部分文件。

确保有效策划并实施一项审核方案的关键准则包括：

- 策划阶段获得在哪个场所完成哪些管理体系要素、过程、活动的知识；
- 为了有效和高效的审核，依据拟审核的管理体系类型，确定需要评价的关键因素；
- 选择审核组成员（考虑上述内容）；

application of site sampling is not appropriate during the planning and conduct of the audit.

There may be many reasons for this, such as;

- all the sites perform significantly different activities;
- the client requests each site to be audited;
- there is a sector scheme or regulatory requirement stipulating that each site is to be audited systematically.

Any legal considerations concerning the organization's management system extending over a single legal entity or multiple legal entities is generally irrelevant to the auditing of the management system, and unless otherwise stated are not covered in the present document.

- 分配充足的现场审核时间。

Key criteria to ensure effective planning and implementation of an audit program include:

- obtaining knowledge at the planning stage of what Management System elements/processes/activities are performed at which site;
- determining the critical factors to be evaluated for an efficient and effective audit, depending

on the type of Management System being audited;

-selecting the audit team members taking account of the above;

-allocating sufficient on-site audit time.

6.1 审核与认证的方法 METHODOLOGY FOR AUDIT AND CERTIFICATION

6.1.1 认证的前提条件 Eligibility for Certification

a) 组织应识别为其管理体系负责的中心职能。

b) 中心职能应获得组织的授权以规定、建立以及保持管理体系。

c) 组织的管理体系应接受集中的管理评审。

D) 全部场所应接受组织的内部审核程序。

E) 中心职能应有责任确保来自于所有场所的数据得到收集和分析，并且应能够证明其权威和能力，以便在需要时（包括但不限于下述情况）发起组织的变更。

A) The organization shall identify its central function responsible for the management system.

B) The central function shall have organizational authority to define, establish and maintain the management system.

C) The organization's management system shall be subject to a centralized management review.

D) All sites shall be subject to the organization's internal audit program.

E) The central function shall be responsible for ensuring that data is collected and analyzed from all sites and shall be able to demonstrate its authority and ability to initiate organizational change as required in regard, but not limited, to:

- (1) 体系文件和体系变更；
- (2) 管理评审；
- (3) 投诉；
- (4) 纠正措施的评价；
- (5) 内部审核策划和对结果的评价；
- (6) 与适用标准有关的法律法规要求。

(i) system documentation and system changes;

(ii) management review;

(iii) complaints;

(iv) evaluation of corrective actions;

(v) internal audit planning and evaluation of the results;

(vi) statutory and regulatory requirements pertaining to the applicable standard(s).

6.1.2 申请评审和审核方案 Application Review and Audit Programme

6.1.2.1 审核部应获得关于组织的有关信息，以便于：

- 确定管理体系运行范围以及寻求认证的范围；
- 理解将实施管理体系的不同场所连接起来的法律与合同安排；
- 理解“在哪里发生了什么”，即：确定在不同场所和活动之间的接口以及识别在各独立场所的任何重复活动；
- 考虑其他相关因素（见 CNAS-CC105、ISO/IEC TS 17023）；
- 确定审核时间以及确定审核组的能力要求；
- 确定审核方案。

The Audit department shall obtain relevant information concerning the organization in order to:

- determine the scope of the management system being operated and the requested scope of certification;
- understand the legal and contractual arrangements linking the different sites implementing the Management System;
- understand “what happens where” i.e. determine interfaces between the different sites and activities and identify any duplication of activities on separate sites;
- take into consideration other relevant factors (see also IAF MD5, ISO/IEC TS 17023);
- determine the audit time and determine audit team(s) competence required;
- determine the audit program.

6.1.2.2 在确定审核方案时，根据将被审核组织的特定构架，审核部应策划充足的附加时间用于那些并不能计入审核时间的活动，例如：旅途、审核组成员间沟通、当地现场的首次和末次会议、审核后会议等。

注：如果被审核过程的性质适用于远程审核，可以使用远程审核技术。

When determining the audit program, the audit department shall allow sufficient additional time for activities which are not part of the calculated audit time, such as travelling, communicating between audit team members, local on-site opening and closing meetings, post-audit meetings, etc. due to the specific configuration of the organization to be audited.

Note: Remote auditing techniques may be used, provided that the processes to be audited are of such a nature that remote auditing is appropriate (see ISO/IEC 17021-1).

6.1.2.3 审核组应考虑在一个以上的场所实施第一阶段的必要性。

Audit team shall consider the need to perform Stage 1 on more than one site, in order to obtain the information

6.1.2.4 在组织的配合下，审核组应识别每个场所（基于认证范围）实施的管理体系的全部过程，包括主要过程、绩效评价和改进过程以及次要过程。

Audit team, in collaboration with the organization, shall identify all the processes of the Management System implemented at each site (based on the scope of certification) including primary processes, performance evaluation and improvement processes and secondary processes.

在每个认证周期，审核方案应：

(1) 在每次审核中包括对每个场所实施的全部主要过程；

(2) 在每个初次认证审核和再认证审核中包括全部绩效评价和改进过程，并且在每个认证周期中至少有一次监督审核包括另一次全部的绩效评价和改进过程；

(3) 通过下述方式包括次要过程：

a. 在每个初次认证审核和再认证审核中对全部次要过程的审核，但对于不同场所中实施相类似的次要过程可基于抽样检查；

b. 在监督审核中，次要过程的检查应基于抽样并依据先前审核的结果。这一抽样应经过设计以确保足够的样本规模，足以评价管理体系要求的符合性，并确保 3 年周期中所选取的被审核过程能合理代表管理体系。

In each certification cycle, the audit program shall:

i. include during each audit all the primary processes, as performed on each site;

ii. include all the Performance Evaluation and Improvement processes during each initial and recertification audit and at least one other time in each certification cycle during a surveillance audit;

iii. include the secondary processes in the following manner:

a. Audit of all the secondary processes in each initial audit and recertification audit, but similar secondary processes carried out at different sites can be checked on sampling basis;

b. During surveillance audits, the secondary processes shall be checked on sampling basis and depending on the result of the preceding audits. This sampling shall be designed to ensure a significant sample size to achieve an evaluation of conformity with the requirements of the management system, and shall ensure that the selection of processes audited over the 3 year cycle are reasonably representative of the management system.

6.1.2.5 当在任何一点所使用审核组构成多于一人时，审核部应与审核组长沟通，以识别对每个场所中每一部分审核的技术能力要求，并为每部分审核分派适宜的审核组成员。

Where audit teams consisting of more than one member are used at any point, it shall be the responsibility of the NOA, in conjunction with the Team Leader, to identify the technical competence required for each part of the audit and for each site and to allocate appropriate team members for each part of the audit.

6.2 初次认证审核：第一阶段 Initial Audit: Stage 1

在第一阶段中，审核组应完善信息以：

-- 确认审核方案；

-- 策划第二阶段，考虑在每个场所拟审核的过程、要素、活动。除了在每个场所实施的任何主要过程，审核组应选择在某些场所实施的非主要过程需要审核，以确保有效并完整的管理体系审核；并且

-- 确认第二阶段的审核组具备必要的能力。

注：此处的非主要过程指绩效评价和改进过程，以及次要过程。

During Stage 1, the audit team shall complete the information to:

-confirm the audit program;

-plan Stage 2, taking into account the processes/ elements/activities to be audited in each site.

In addition to any Primary processes implemented on each site, the audit team shall select at which sites the implementation of non-primary processes needs to be audited to ensure an effective and complete audit of the Management system; and

-confirm that the Stage 2 audit team has the requisite competence.

Note: The non-primary processes referred to here mean the Performance Evaluation and Improvement processes as well as the Secondary processes.

6.3 初次认证审核：第二阶段 4.5 Initial Audit: Stage 2

作为初次认证审核的输出，审核组应将在每个场所审核了哪些过程形成文件。这些信息将用于修正后续监督审核的审核计划。

At the outcome of the initial audit, the Audit team shall document which processes were audited on each site. This information will be used to amend audit plans for subsequent surveillance audits.

6.4 监督审核 Surveillance Audits

6.4.1 审核组应分配充足的现场审核时间来审核每个场所的全部主要过程以及其他过程。只有在足够的样本规模足以确保评价管理体系要求的符合性时（同时见 CNAS-CC01 中 9.6.2.2 的要求），次要过程才可抽样。应确保在 3 年的周期中选中被审核的过程能合理代表管理体系。

Audit team shall allocate sufficient on-site time to audit all the primary processes as well as other processes on each site. The secondary processes can be sampled provided a significant sample size is achieved to ensure an evaluation of conformity with the requirements of the Management System (see also the requirements in Clause 9.6.2.2 of ISO/IEC 17021-1: 2015). The CB shall ensure that the selection of processes audited over the 3 year cycle are reasonably representative of the Management System.

6.4.2 分配到每个场所审核时间的多少，应取决于该场所是否实施主要过程。

6.4.2 The amount of audit time allocated to each site shall depend on whether that site is performing primary processes or not.

6.5 再认证审核 Recertification Audits

审核组应审核整个管理体系，与初次认证审核类似。审核组应考虑当前认证周期中哪些场所的哪些过程已经被审核过。

Audit team shall audit the complete management system similarly to the initial audit. Audit team shall take into account which processes have been audited on which site during the current cycle.

6.6 审核时间的计算 CALCULATION OF AUDIT TIME

相关 ISO 标准、IAF 文件（主要是 IAF MD5 即 CNAS-CC105）以及必要时任何适用的专门方案的要求应与本部分文件的要求联合用于计算管理体系的总审核时间，而不用

考虑场所的数量。

这一审核时间绝不应少于将所有的工作都集中到一个场所进行时（即组织的所有员工都在同一个场所），根据运作的规模和复杂程度计算出的审核时间。

注：监督审核按初审值“1/3”的方法以及再认证审核按初审值“2/3”的方法计算单一场所的审核时间很可能是不充足的，并且必须考虑到增加必要的时间用于当地的首次和末次会议、重复的过程、拟审核到多种主要过程等，如 CNAS-CC105 所述的复杂后勤安排。

The relevant ISO Standards, IAF documents (principally IAF MD5) and, where necessary, any applicable Sector Scheme requirements in conjunction with the requirements in this document shall be used to calculate the total audit time for the Management System, irrespective of the number of sites.

This audit time shall never be less than that which would have been calculated for the size and complexity of the operation if all the work had been undertaken at a single site (i.e. with all the employees of the company in the same site).

Note: It is unlikely that the “one-third” approach for surveillance audit time and the “two-thirds” approach for recertification audit time on single sites will be adequate, and consideration must be made for adding time needed for local opening & closing meetings, duplicated processes, the variety of primary processes to be audited, etc, as indicated in IAF MD5 for complicated logistics.

6.8 认证文件

证书应反映认证范围以及被审核与认证的场所、法律实体。

The Certification document shall reflect the scope of certification and the sites/legal entities audited and certified by NOA.

7 引用文件及记录表单 **References and records**

7.1 ISO/IEC17021 《管理体系认证机构要求》

ISO/IEC17021 “Management System Certification Body Requirements”

7.2 IAF MD1 《基于抽样的多场所认证》

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

7.3 NOAQCWI14 《审核活动工作人日管理要求》

NOAQCWI14 “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 S

- 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