

Special certification conditions (SCC) for multisite/multi-organization procedures ISO 9001 / ISO 14001 / ISO/IEC 20000-1 / ISO 22301 / ISO/IEC 27001 / ISO 45001 / ISO 50001 / AZAV / SCC/SCP 多场所认证特殊条款

Your organization has multiple locations (multisite) and/or multiple companies/enterprises (multi-organization) that are to be certified in a single procedure.

This requires compliance with specific accreditation requirements, which you can find in the following points. As part of the audit (based on the fee calculation, subject to proportional fees), a check is carried out to determine whether the requirements for the application of a multisite and/or multi-organization procedure are met. If these requirements are not met, the locations and/or organizations concerned can only be audited and certified through individual procedures.

The entire organization must use a single management system. This must be centrally controlled and, for example, subject to a central management review.

您的组织有多个场所（多场所）和/或多个公司/企业（多组织），需要在—个程序中进行认证。

这需要符合特定的认可要求，您可以在以下几点中找到。作为审核的一部分（基于费用计算，按比例收费），进行检查以确定是否符合应用多场所和/或多组织程序的要求。如果不符合这些要求，相关场所和/或组织只能通过单独的程序进行审核和认证。

整个组织必须使用单一的管理体系。管理体系必须集中控制，例如，集中的管理评审。

1. DEFINITIONS AND REQUIREMENTS

Organization:

The term "organization" as used in this document refers to the person or group of persons defined in ISO 9000:2015 and ISO/IEC 17021-1:2015 who have their own functions, responsibilities, authorities, and relationships and operate a management system.

In the case of multi-site certifications, the term covers all sites belonging to the scope of certification under joint/supreme management.

Company name:

Official name of a company, for example, as entered in the commercial register.

Management system headquarters:

The headquarters bears overall responsibility for the management system and acts as the main point of contact for the certification body. It has the authority to initiate and implement necessary changes system-wide and ensures continuous compliance with the relevant standard requirements by all sites and organizations.

Site:

A location is a physical address where an organization continuously performs work or from which a service is provided.

There may be several organizations at one location (→ multiorganization).

Virtual site:

A virtual location is an online environment in which an organization performs work or provides services, enabling people from different physical locations to carry out processes (for example: design or development organization in which employees perform their work remotely).

Temporary location:

A temporary location is a location (physical or virtual) where an organization performs specific work or provides services—for a specific period of time — and which is not intended to become a permanent location. These locations must be designated as temporary locations.

Non-permanently occupied location:

A non-permanently occupied location is only temporarily, but not continuously, staffed or used by people or personnel.

Multisite:

An organization with multiple locations is referred to as multisite.

Multi-organization:

An organization with multiple legal entities (e.g., companies or corporations) is referred to as a multi-site organization.

1. 定义与要求

组织:

本文件中使用的“组织”—词，是指 ISO 9000:2015 和 ISO/IEC 17021-1:2015 中定义的具有自身职能、职责、权限和相互关系并运行管理体系的—个或—组人。

在多场所认证的情况下，该术语涵盖在联合/最高管理层管理下属于认证范围的所有场所。

公司名称:

公司的正式名称，例如在商业登记册中登记的名称。

管理体系总部:

总部对管理体系负总体责任，并作为认证机构的主要联络点。总部有权发起和实施全体系范围的必要变更，并确保所有场所和组织持续符合相关标准的要求。

场所:

场所是指组织持续开展工作或提供服务的物理地址。—个场所可能存在多个组织（→ 多组织）。

虚拟场所:

虚拟场所是指组织开展工作或提供服务的在线环境，使得来自不同物理场所的人员能够执行流程（例如：设计或开发组织中，员工远程开展工作）。

临时场所:

临时场所是指组织在特定时间段内执行特定工作或提供服务的场所（物理或虚拟），且该场所不打算成为永久性场所。这些场所必须被指定为临时场所。

非长期占用场所:

非长期占用场所是指仅暂时被人员占用或使用，而非持续占用的场所。

多场所:

拥有多个场所的组织称为多场所组织。

多组织:

拥有多个法律实体（例如公司或企业）的组织称为多组织。

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2. CRITERIA FOR THE CERTIFICATION OF ORGANIZATIONS WITH MULTIPLE SITES (MULTISITE) A multisite procedure may only be carried out if the following criteria are met and can be guaranteed by a central office. 2.1 General criteria ➤ The organization must have a headquarters where certain activities are planned, controlled, and managed. The headquarters must be part of the organization and may not be outsourced to an external organization/third party. The headquarters has the organizational and corporate authority to define, establish, and maintain the uniform management system and must have a legal or contractual relationship with the sites. The headquarters must have legal authority over the locations in order to be able to enforce measures. ➤ The organization must have a network of local offices or branches (in short: locations) where, ideally, these identical activities are carried out in whole or in part. There is a binding declaration by the locations to comply with the central management system, which also specifies the authority of the central management representative. ➤ All relevant locations (including headquarters) must be subject to an internal audit plan of the organization and must have been audited in accordance with this plan prior to the DEKRA Certification audit. ➤ The organization must demonstrate its ability to collect and analyze data from all sites, including headquarters (including, but not limited to, the items listed below) and demonstrate its authority and ability to implement organizational changes when necessary: - Documentation and changes; - Management review; - Complaints; - Evaluation of corrective actions; - Planning of internal audits and evaluation of results; - Legal and regulatory requirements relating to the applicable standard(s) ➤ Headquarters must have the right to introduce corrective measures if they are required at one of the sites. Where applicable, this should be stipulated in the contract between headquarters and the site. ➤ A contractual relationship exists between the headquarters (and all sites covered by the certification scope) and the certification body. ➤ Audits at headquarters must include verification of the interfaces with the sites and vice versa. ➤ All relevant processes must be assessed at each site. ➤ Headquarters receives the audit reports from DEKRA Certification GmbH. It is also responsible for ensuring that the corrections are implemented at the locations. ➤ The headquarters receives a main certificate with an appendix listing all locations with their full addresses. Upon request, location certificates can be issued for the locations listed in the appendix to the main certificate. ➤ All locations must meet the conditions for maintaining certification. ➤ If not the headquarters does hold a majority stake in the locations, a control agreement, which must be notarized and entered in the commercial register, is mandatory.	2. 多场所组织认证准则 (多场所) 只有在满足以下标准且由中央职能保证执行的情况下, 才可实施多场所程序。 2.1 通用准则 ➤ 组织必须设有一个总部, 在该总部对特定活动进行策划、控制和管理。总部必须是组织的一部分, 不得外包给外部组织/第三方。总部拥有界定、建立和维护统一管理体系的组织权力和企业权力, 并且必须与各场所存在法律或合同关系。总部必须对各场所拥有法律上的权力, 以便能够强制执行措施。 ➤ 组织必须拥有本地办事处或分支机构的网络 (简称: 场所), 原则上这些场所全部或部分开展相同的活动。各场所需作出有约束力的声明, 承诺遵守中央管理体系, 该声明同时明确中央管理代表的权限。 ➤ 所有相关场所 (包括总部) 必须纳入组织的内部审核计划, 并且在 DEKRA Certification 审核之前已按照该计划接受了审核。 ➤ 组织必须证明其有能力收集和分析来自所有场所 (包括总部) 的数据 (包括但不限于以下所列项目), 并证明其在必要时有权且有能力实施组织变更: - 文件记录和变更; - 管理评审; - 投诉; - 纠正措施的评估; - 内部审核策划及结果评估; - 与适用标准相关的法律法规要求。 ➤ 总部必须有权在任一场所需要时引入纠正措施。在适用的情况下, 应在总部与场所之间的合同中对此予以规定。 ➤ 总部 (以及认证范围所涵盖的所有场所) 与认证机构之间存在合同关系。 ➤ 在总部的审核必须包括对与各场所之间接口的验证, 反之亦然。 ➤ 所有相关过程必须在每个场所进行评估。 ➤ 总部收到 DEKRA Certification GmbH 的审核报告。总部还负责确保各场所实施纠正措施。 ➤ 总部获得主证书, 并附有一个列出所有场所及其完整地址的附件。根据要求, 可为主证书附件中所列的场所颁发场所证书。 ➤ 所有场所必须满足保持认证的条件。 ➤ 如果总部在各场所中不持有多数股权, 则必须有一份经公证并已在商业登记册中登记的控制协议。
2.2 Additional criteria for the certification of organizations using a sampling procedure	2.2 采用抽样程序的组织认证的附加准则 ➤ 各场所提供的产品或服务必须本质上属于相同类型,

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➤ The products or services provided by all locations must be essentially of the same type and must be produced or provided using the same methods and procedures. ➤ The sample size from the individual locations is determined in accordance with the currently valid accreditation rules. ➤ DEKRA Certification GmbH selects the locations to be assessed. Locations or business units where most or critical processes are carried out must be assessed before the certificate is issued. For locations outside Germany, additional local requirements may have to be taken into account during the audit. ➤ The headquarters must be included in the annual monitoring. ➤ The audit reports of the internal audits from the individual locations must be available for inspection at headquarters as part of the audit. ➤ The selection of sites to be inspected (sampling) is carried out non-selectively and selectively in accordance with the applicable international sampling requirements.	且必须使用相同的方法和程序进行生产或提供。 ➤ 各单一场所的抽样数量根据现行有效的认证规则确定。 ➤ DEKRA Certification GmbH 选择拟评估的场所。承担主要或关键过程的场所或业务单元必须在证书颁发前接受审核。对于德国以外的场所，审核期间可能还需要考虑额外的当地要求。 ➤ 总部必须纳入年度审核。 ➤ 各场所内部审核的审核报告必须可在总部供审核时查阅。 ➤ 待审核场所的选取（抽样）根据适用的国际抽样要求，以非选择性和选择性相结合的方式进行。
2.3 Special criteria Additional conditions for SCC/SCP procedures The parent company must: ➤ demonstrate that it provides occupational health and safety support to its branches in accordance with Sections 2 and 5 of the Occupational Safety Act; ➤ demonstrate the implementation and documentation of risk assessments in accordance with Sections 5 and 6 of the Occupational Safety Act in the branches; ➤ maintain accident statistics in accordance with the SCC regulations for the headquarters and the affiliated branches. Additional conditions for ISO 27001 procedures ➤ Any site included in the ISMS (Information Security Management System) that is affected by significant risks to assets or information values must be checked in advance (e.g., in phase 1) if necessary. Additional conditions for ISO 50001 procedures The following energy-related performance requirements must be met and applied to the headquarters: ➤ Consistent energy planning process; ➤ Consistent criteria for determining and adjusting the baseline, relevant variables, and energy performance indicators; ➤ Consistent criteria for setting targets and objectives and action plans for sites; ➤ centralized processes for evaluating the applicability and effectiveness of action plans and energy-related performance indicators (EnPIs); ➤ centrally aggregated energy-related performance data to demonstrate organization-wide energy-related performance, where applicable.	2.3 特殊准则 SCC/SCP 程序的附加条件 母公司必须： ➤ 证明其根据《职业安全法》第 2 条和第 5 条的规定，向其分支机构提供职业健康与安全支持； ➤ 证明在分支机构中已按照《职业安全法》第 5 条和第 6 条的规定实施并记录了风险评估； ➤ 按照 SCC 法规为总部及关联分支机构维护事故统计数据。 ISO 27001 程序的附加条件 ➤ 纳入 ISMS（信息安全管理体系）且涉及资产或信息价值的重大风险的任何场所，如有必要，必须提前（例如在第 1 阶段）接受检查。 ISO 50001 程序的附加条件 以下能源相关绩效要求必须得到满足并适用于总部： ➤ 采用一致的能源策划过程； ➤ 采用一致的准则来确定和调整能源基准、相关变量及能源绩效指标 ➤ 采用一致的准则为各场所设定目标指标及行动计划 ➤ 集中评估行动计划和能源绩效指标（EnPIs）的适用性和有效性 ➤ 适用时，集中汇总能源相关绩效数据，以展示整个组织的能源绩效。
3. CRITERIA FOR THE CERTIFICATION OF MULTI-ORGANIZATIONS In order to carry out certification procedures involving an organization with multiple legal entities, the organization must demonstrate that it meets specific criteria. The certification of multi-organizations is only permitted if the following criteria are met: ➤ The contractual partner of the certification procedure (legal representative of the Kapitalgesellschaft) must have a headquarters (senior management)	3. 多组织认证的准则 为了对拥有多个法律实体的组织实施认证程序，该组织必须证明其满足特定准则。 只有在满足以下条件时，才允许进行多组织的认证： ➤ 认证程序的合同方（Kapitalgesellschaft 的法定代表人）必须设有一个总部（高级管理层），在该总部对特定活动进行策划、控制和管理。 总部必须是组织的一部分（包括下述干预权），且不

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where certain activities are planned, controlled, and managed. The headquarters must be part of the organization (including the rights of intervention listed below) and may not be outsourced to an external organization/third party. ➤ The contractual partner must have the legal rights of intervention over the other organizations involved in the certification process. Enforcement rights exist if one of the following constellations applies. The headquarters: (1) holds a majority of the voting rights (Section 290 (2) No. 1 HGB; according to IAS 27.13a, at least half of the voting rights) in the company, or (2) is a shareholder with any share and has the right to appoint or dismiss the executive bodies of the company (Section 290 (2) No. 2 HGB; according to IAS 27.13c, can determine the majority of the management bodies) or (3) has concluded a control agreement, profit transfer agreement, or (4) can exercise a controlling influence over the company on the basis of the articles of association (Section 290 (2) No. 3 HGB; according to IAS 27.13b, determine the financial and operating policies) or (5) holds an interest pursuant to Section 271 (1) HGB and exercises unified management (Section 290 (1) HGB) (IAS 27.10-13) or (6) has an interest pursuant to Section 271 (1) HGB and, from an economic perspective, the parent company bears the majority of the risks and opportunities of the local subsidiary, which serves to achieve a narrowly defined and precisely defined objective of the parent company (contract-related special purpose entity/bidding consortia, etc.). The characteristic of being a "sister company" within the same group does not in itself fulfill any of the conditions listed under 1 to 6 in relation to other sister companies.	得外包给外部组织/第三方。 ➤ 合同方必须对参与认证过程的其他组织拥有法律上的干预权。 符合以下任一情形时，即存在干预权： 总部： (1) 持有公司多数表决权（《德国商法典》第 290 条第 2 款第 1 项；根据 IAS 27.13a，至少半数表决权）；或 (2) 持有公司任何份额的股东，并有权任命或解聘公司的执行机构（《德国商法典》第 290 条第 2 款第 2 项；根据 IAS 27.13c，可以决定多数管理机构）；或 (3) 已签订控制协议或利润转移协议；或 (4) 依据公司章程能够对公司施加控制性影响（《德国商法典》第 290 条第 2 款第 3 项；根据 IAS 27.13b，决定财务和经营政策）；或 (5) 持有《德国商法典》第 271 条第 1 款所规定的权益，并实施统一管理（《德国商法典》第 290 条第 1 款）（IAS 27.10-13）；或 (6) 持有《德国商法典》第 271 条第 1 款所规定的权益，且从经济角度看，母公司承担了当地子公司的大部分风险和机遇，该子公司服务于实现母公司狭义且精确界定的目标（合同相关特殊目的实体/联合投标等）。 同一集团内作为“姐妹公司”的特征本身，并不满足上述第 1 至第 6 项中与姐妹公司相关的任何条件。
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