

Multiple Site Selection and Calculation of Audit Times

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Content List

1	PURPOSE	3
2	SCOPE	3
3	DEFINITIONS	3
3.1	Establishment	3
3.2	Permanent Field	3
3.3	Temporary Site	3
3.4	Multi-Pitch	3
3.5	Central Function	3
3.6	Virtual Field	3
3.7	Sub Scope	4
3.8	Senior Management	4
3.9	Additional Field	4
4	MULTI-SITE ESTABLISHMENT ELIGIBILITY CRITERIA	4
5	METHODS	5
5.5	Calculation of Examination Time	7
5.6	Audit Plan	7
7	RELATED DOCUMENTS	7
8	REVISION HISTORY	7

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1 Aim

The purpose of this instruction is to provide an efficient method for the certification of businesses with multiple sites that apply to TÜV AUSTRIA TURK for certification by determining the application acceptance principles and audit rules.

2 Scope

This instruction applies to all IAF MD 1:2018 and Accreditation-Manual-for-Industry-v.3.1. It covers the rules for the certification of organizations (under a single management) that have operations in separate locations (in different geographical areas) within its scope .

3 Definitions

3.1 Establishment

A person or group that has its own responsibilities, authorities, and relationships to achieve its goals.

3.2 Permanent Field

It is a permanent area (physical or virtual) where an organization performs its services or business or provides a service on an ongoing basis.

3.3 Temporary Field

Temporary field; These are areas established by the organization to perform a specific job or service in a limited period of time and will not become permanent. (physical or virtual).

3.4 Multi-Pitch

A multi-site organization is defined as a network of local offices and sites where a central mission is defined from which specific activities are planned, controlled or managed, and where such activities are carried out in whole or in part.

All areas where activities under the control of an organization are carried out, including any services or infrastructure used in linked and joint activities, can be considered multi-site. Additionally, multi-site organizations are not required to have a single legal title; However, in order to be included in the multi-site scope, all areas must be connected to the center with a legal contract. The scope of certification is determined during the Application Review process prior to the certification audit, with reference to the definition of “field” above.

3.5 Central Function

It is the function that centrally controls and is responsible for the management system.

3.6 Virtual Field

It is the virtual location where the customer organization carries out activities or provides services, regardless of their physical location, to enable people to carry out processes using the internet environment.

Note 1: Virtual field cannot be considered as places where processes are carried out in a physical environment.

Note 2: Example of a virtual field; These are jobs where all employees perform their assigned jobs remotely or in the cloud environment.

Note 3: The virtual site (e.g. on-premises network) is considered a single site for the purpose of calculating audit duration.

3.7 Sub Scope

It is the scope of a single field. (The scope of a single site may be the entire scope of a multi-site company or only a part of it.)

3.8 Senior management

They are the person or persons who direct and control an organization at the highest level.

3.9 Additional Field

A new site or group of sites added to an existing documented multi-site network.

4 Multi-Site Establishment Eligibility Criteria

TÜV AUSTRIA TURK has determined the following conditions for the acceptance of the multi-site establishment's certification application and records it with FRM-GST-001 Annex-1 Multi-site Establishment Information Form:

- ✓ The organization must have a single management system
- ✓ The organization must define its central function. The central function should be part of the organization and not subcontracted to an external organization.
- ✓ must have a defined and controlled sustainable management system applicable to all departments included in the scope of the requested certification .
- ✓ The sustainable management system should be managed centrally and implemented in all business areas within the scope of the proposed certification. All business areas must have a legal or contractual connection with the head office . System documentation and system changes, management review, identification of training needs, approval of suppliers, complaints, internal audits, planning and evaluation of results, corrective and preventive actions and changes in management system documentation, data and structure should be carried out by the center.
- ✓ The organization's unique management system should be subject to central management review.
- ✓ All sites should be subject to the organization's internal audit program.
- ✓ The central function must be responsible for ensuring that data is collected and analyzed from all sites and must be able to demonstrate the authority and ability to initiate organizational change, including, but not limited to, the following:
 - System documentation and system changes;
 - Management review;
 - Complaints;
 - Evaluation of corrective actions;
 - Internal audit planning and evaluation of results;
 - Assessment of legal and regulatory requirements regarding applicable standard(s);

The central function is where operational control and authority from the organization's top management is applied to each site. The central function does not need to be located in a single area.

5 Methods

5.1 Method for Inspection of a Multi-Site Establishment Using Field Sampling

5.1.1 Conditions

- ✓ Sampling of a number of sites is permitted where each of the sites performs very similar processes/activities.
- ✓ Not all organizations that meet the definition of “multi-site organization” will be eligible for sampling. TÜV AUSTRIA TURK evaluates whether the company is suitable for multi-site sampling with the FRM-GST-001 Annex-1 Multi-site Establishment Information Form.
- ✓ Not all management systems standards are eligible to be evaluated for multi-site organization certification. For example, multi-site sampling would not be appropriate where control of variable local factors is a requirement of the standard.
- ✓ TÜV AUSTRIA TURK may not find field sampling appropriate to obtain sufficient confidence in the effectiveness of the management system subject to audit, considering the following situations:
 - Cover sectors or processes/activities (i.e. based on an assessment of the risks or complexity associated with that sector or activity);
 - Size of sites suitable for multi-site inspection
 - Changes to the local implementation of the management system to address different processes/activities or different contractual or regulatory systems
 - Use of temporary sites that operate under the organization’s sustainable management system, although they are not included in the certification documents.

5.1.2 Sampling

- ✓ The sample taken is selected partially randomly, according to the factors listed below, and is organized in a way that represents different areas and ensures that all processes within the scope of certification are audited.
- ✓ At least 25% of the sample is selected randomly.
- ✓ The rest of the sample; The differences between the selected sites are selected as much as possible during the validity period of the certificate, taking into account the following points.
- ✓ The following points are taken into account in site selection:
 - Results of internal site audits and management reviews or previous certification audits;
 - Records of complaints and corrective and preventive actions;
 - Significant differences in the size of the fields;
 - Differences in shift patterns and work practices;
 - The complexity of the management system and processes carried out at the sites;
 - Changes since the last certification audit;
 - Maturity of the management system and organizational knowledge;
 - Scope of environmental aspects and related impacts for environmental issues and environmental management systems;
 - Differences in culture, language and regulatory requirements;
 - Geographic distribution; And
 - Whether the sites are permanent, temporary or virtual
- ✓ This selection does not need to be made at the beginning of the audit process. It can also be done after the control of the central function is completed. In all cases, the central function is notified of the fields that will

APPENDIX-01 Multiple Site Selection and Calculation of Inspection Times



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be included in the sample. This may happen in a relatively short period of time, but the firm is given sufficient time to prepare for the audit.

5.1.3 Sampling Size

FIRST CERTIFICATION AUDIT

Sample criteria = $\sqrt{\text{Number of areas} + \text{Head Office}}$

SUPERVISOR INSPECTION

Sample criterion = $0.6 \sqrt{\text{Number of areas} + \text{Head Office}}$

RE-CERTIFICATION AUDIT

Sample criterion = $0.8 \sqrt{\text{Number of areas} + \text{Head Office}}$

If the calculated amount is not an integer, it will be rounded to the next integer.

NUMBER OF BUSINESSES (EXCLUDING CENTRAL FUNCTION) (1)	NUMBER OF SAMPLES FOR FIRST INSPECTION (2)	NUMBER OF SAMPLES FOR SURVEILLANCE INSPECTION (3)*	NUMBER OF SAMPLES FOR CERTIFICATE RENEWAL AUDIT (4)
1-2	100% ALL	ALL	ALL
3-4	2	2	2
5-9	3	2	3
10-25	4-5	3	4
26-36	6	4	5
37-49	7	5	6
50-64	8	5	7
65-100	9-10	6	8
101-121	11th	7	9
122-144	12	8	10
145-169	13	8	11th
170-225	14-15	9	12
226-256	16	10	13
257-289	17	11th	14
290-324	18	11th	15
325-400	19-20	12	16

*If more than one surveillance inspection is carried out per year, the number specified in column (3) is divided by the number of surveillance inspections and samples are selected as many as the number obtained.

- ✓ The central function is visited in every examination.
- ✓ If the organization has a hierarchical branch system (e.g. head (headquarters) office, national offices, regional directorates, local branches), the sampling model for the initial audit described above applies to each level.

Example:

- 1 head office: visited in each audit cycle (initial or surveillance or recertification)
- 4 national offices: sample = 2: at least 1 random
- 27 regional offices: sample = 6: at least 2 random
- 1700 local branch: sample = 42: at least 11 random

- ✓ The sample of regional offices must include at least one regional office controlled by each national office. The sample of local branches must include at least one local branch controlled by each regional office.
- ✓ The sampling process is part of the management of the audit program. If new sites are acquired to be added to the scope of certification at any time, TÜV AUSTRIA TURK reviews the foreseen sampling. The newly added additional field is inspected and included in the scope.

5.2 Methodology for Inspecting Multi-Site Establishments When Site Sampling Is Not Appropriate

- ✓ In cases where field sampling is not appropriate; The audit program is created to inspect all sites during the initial certification and re-certification audit. In surveillance audits, 30% of the total number of sites, rounded to the nearest whole number, will be covered in a calendar year. Each control center will contain the function. The sites selected for the second surveillance audit will be different from the sites selected for the first surveillance audit.
- ✓ The audit program is designed to ensure that all processes within the scope of certification are audited in each cycle.
- ✓ When a new site is added to the scope of an already certified multi-site organization, the site must be inspected before being included in the certificate. After the new site is included in the certification, the duration of the audit is included in the previous calculation to determine the audit period for future surveillance and recertification audits.

5.5 Calculation of Examination Time

The inspection is carried out by calculating the inspection time separately for each sampled field. The maximum discount/increase rates that can be applied for each standard are determined in IAF MD 5 and sector-specific standards. In addition, if conditions are met, additional discounts may be applied due to processes carried out by the central function. With this addition, the maximum discount rate will be 50%. Unless otherwise specified by the program, inspection time for each sampled site cannot be reduced by more than 50%.

5.6 Audit Plan

In multi-site audits, the audit plan is prepared to include the following:

- ✓ Scope of certification and sub-scopes for each field
- ✓ Management system standard applied at each site
- ✓ Processes/activities to be audited
- Inspection time allocated for each site
- Inspection team (separately for each site)

7 Related documents

- ✓ FRM-GST-001 Annex-1 Multi-Site Establishment Information Form
- ✓ IAF MD 1: 2018

8 Revision History

APPENDIX-01 Multiple Site Selection and Calculation of Inspection Times



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The following list provides a keyword-based view of changes to this procedure over time.

#	Revision date	Revision Description	Preparer	Control	Approved by	Review
0	03.07.2023	First broadcast	SDÖ	EAS	BCE	-
one	07.03.2024	The notes in the Virtual Field section have been updated.	SGH	EAS	BCE	-

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