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艾斯飛利國際有限公司 外部使用

1. 目的 PURPOSE

此程序之目的係說明授予驗證、維持、增列、減列驗證範圍或暫時終止、終止、拒絕驗證之程序。

The purpose of this procedure is to describe a procedure for Granting, Maintaining, Extending or Reducing scope, Suspending, Withdrawing or Refusing Certification.

2. 範圍 SCOPE

本公司提供的驗證。

Certifications provided by company.

3. 名詞解釋 TERMS AND DEFINITIONS

其他適用項目詳細定義於手冊條款第 3 項。

All applicable as defined in clause 3 of manual.

4. 程序 PROCEDURE

4.1 稽核報告之接收和審查 RECEIPT AND REVIEW OF AUDIT REPORT

稽核組長負責提交稽核報告文件；其中包含客戶已簽署的稽核報告、不符合事項之矯正措施計畫。

The Lead Auditor is responsible for submission of audit report documents. This contains at least client signed audit report, Corrective Action Plan for Client for non-conformances.

所有稽核報告（第一階段、第二階段、追查稽核、後續稽核、特別稽核、重新驗證等）會在以下多個階段進行審查。總經理將邀集公司最高管理階層投入報告審查工作，必要時，將邀請技術專家協助。

All audit reports (Stage 1, Stage 2, surveillance audit, follow-up, special audit, recertification etc) are reviewed at multiple stages. The General Manager will invite the top management of the company to participate in the review of the report, and technical experts will be invited to assist if necessary.

報告審查要點包括：

稽核團隊提供的資訊是否可以滿足驗證要求。

認證範圍和修改後內容是否有效。

稽核期間提出的所有不符合事項、改善建議、觀察事項是否有效。

Key elements examined in the review of the report include:

Whether the information provided by the audit team can meet the verification requirements.

Whether the authentication scope and the modified content are valid.

All non-conformance matters, improvement suggestions and observations made during the audit are valid or not.

客戶相關的信函（例如收到的針對客戶的抱怨、範圍變更、媒體報導等）也應在重新驗證決定期間進行審查，並記錄下最終決定

Correspondence related to the client (e.g. Complaints received against the client, changes in scope, media reports etc) are also reviewed during recertification decision.

查驗是否符合所有本公司之品質和驗證要求，包括公正性要求。

Verify compliance to all company quality and certification requirements, including impartiality requirements.

4.2 準備及頒布證書 CERTIFICATE PREPARATION AND ISSUE

證書由**總經理**簽署，且會在初次稽核、增列驗證範圍、三年一次的稽核、追查升級，或是公司細項有改變（例如公司名稱、地址等）之後頒布給客戶。必要時可由**副總經理**代理。

Certificates will be signed by the General Manager and are issued to clients following initial audit, extension to accredited scope, triennial audit, upgrade on surveillance or change in company details (name, address etc). When necessary, the deputy general manager can act as an agent.

證書編碼將按順序編號，編碼皆以 ASF 開頭，後面會接本公司為客戶公司設定的號碼。

The certificates will be numbered sequentially starting with ASF followed by the Company client code of Company.

本公司應依照以下要求準備證書：

- 除非本公司可以證明審查到的不符合事項皆已解決，否則本公司將不予頒布證書。
- 根據稽核報告上指示的標準來選擇合適的空白證書，並確保會檢查被列在備註單內之變更，備註單會檢附在稽核報告內。
- 藉由審查已受批准公司的註冊案，來決定認證機構通過認證證書的證書編碼。
- 以**總經理**在稽核報告評估檢查表上指示的頒布日期為核准日期，且驗證到期日應是核准日期起算後的三年。
- 若是有經過移轉的案件，到期日可能會與上述有所不同；該案的到期日應與前次證書到期日相同，同時也會參考**總經理**給出與到期日相關的特殊指示，例如在移轉過程中所修改的標準，或是先前標準的到期日可以由認證協會先決定。
- 初次申請日應是頒布日算起的第三年，若為三年一次的案件，則初次申請日應同為初次證書的頒布日，證書編碼應照舊，同時證書範圍也應與前次相同。

- 若客戶未依照三年一次的規律進行驗證（也就是在第一次驗證到期日及第二次初次稽核前的空白期）就應進行第二次驗證，該證書應被視為初次證書，初次註冊日期應與頒布日期相同，同時應排除前次證書，並授予新的證書編碼。
- 所有要頒布的證書都應根據稽核報告上的資訊來填寫客戶公司的名稱、辦公室、地址、標準（包含標準頒布的年份），以及範圍，並檢查列在備註單內之變更，同時確認備註單會檢附在稽核報告內。
- 若總經理在審查證書時有發現任何錯誤，應繳交更正過的版本，並將最終確認版交給總經理簽署。
- 若多場區的驗證範圍及使用的系統皆相同，則所有證書上都需標註各場區的地址。客戶可以要求每個場區的個別證書，若是如此，每個場區都會以相同的證書編碼各別頒布的證書，證書編碼會加上字尾，像是 I/001A, I/001B 等。
- 若一間公司有多間分行，每間分行可能會依據所在的地點不同，而有不同的驗證範圍或商業名稱，因此每間分行都應擁有各自的名稱、地址，以及範圍，每個案件的證書編號應相同，並加上結尾（如上述說明）。
- 客戶可能會有一套頒布了多重標準證書的整合系統；若是如此，應依照上述方式頒布認證機構認證的證書，剩餘的證書應以本公司的方法及程序來頒布，本公司會將必要的評論輸入至客戶檔案及客戶資料庫，以供未來參考及使用。
- 若要頒布任何經修改過的驗證文件，第一次修改版本應在原本的證書編碼後加上修改版本的號碼，例如 ASFYYYYMMDDXXX，然而證書過期日不會跟著變更，會與原本之日期相同。頒布日期為總經理同意之日期，初次申請日期也應照舊。

Company prepares the certificate:

- No certificate will be issued unless Company has evidence that all non-conforming notices raised have been closed out.
- Select the appropriate blank certificate(s) based on the standard as indicated on the audit report. Be sure to check for any changes indicated on Comment Sheets attached to audit report.
- Determine the certificate number for ACCREDITATION BODY accredited certificates by reviewing the Register of Approved Firms.
- Set the issue date to be the date of approval by General Manager indicated on the Audit report review checklist. Set the expiration date to be three years later.
- The expiry date may vary from above for transfer cases, where the expiry date shall be the same as earlier certificate. Also refer to any specific instructions given by General Manager w.r.t. expiry dates e.g. during transition to revised standard, the expiry of old standard may be pre-decided by the accreditation board.
- The initial registration date shall be the issue date for first 3 year cycle. In the triennial case, the initial registration date shall be the issue date of first certificate issued. The certificate number shall continue to be the same. The scope shall be the same as in earlier certificate.
- In case the client goes for second cycle but not as triennial (i.e. a gap between expiry of first cycle and second initial date), the certificate shall be considered as fresh and initial registration date shall be the same as issue date. The earlier certificate shall not be considered. A new certificate number shall be awarded.

- On each certificate to be issued, fill in the client organization's name, base office, address, standard (including issue year of standard), and scope, based on the information on the audit report. Be sure to check for any changes indicated on Comment Sheets included in the audit report.
- Have the General Manager review the certificate for any errors. Submit the corrected and final certificate to GENERAL MANAGER for his signature.
- Multiple sites each operating a common system with the same scope of certification shall have all the addresses on the same certificate. The client may request for individual certificates. In such cases, each site is issued with its own certificate with the same certificate number and a suffix is added. The certificate number shall be I/001A, I/001B etc.
- In cases of group of companies, the locations may have different scopes of certification or trading names, each is issued with respective names, addresses and scope. The certificate shall have the same certificate number with a suffix (as explained above).
- Clients may have integrated system where certificates for multiple standards are issued. In such cases, the ACCREDITATION BODY accredited certificate is issued as above. Rest of the certificates shall be issued by Company using its own format and process. Necessary comment shall be added to the client file and client database for future reference/ use.
- In the event of issuing any revised certification documents, then the original certificate number will have a suffix of revision number .e.g. #####, for first revision. The expiry date of the certificate does not change and continues the same as the original. Issue date shall be the date of GM Approval. Initial Registration date shall be the same as original.

客戶資料庫係依照各自的資料庫管理程序進行修改，完成的證書將附上稽核報告，並由總經理評估證書是否正確且完整。

Client database is amended as per the database management process. The completed certificate with the audit report is reviewed by General Manager for correctness and completeness of the certificate.

證書的所有附件，例如標誌規則或是推薦信等，都將交由總經理簽名。

The certificate with all attachments like logo rules, cover letter etc is submitted to GENERAL MANAGER for his signature.

簽署完成的證書會送至客戶的公司地址，或是客戶特別指定要寄送的其他地址。除非客戶有特別撰寫同意書，否則禁止將證書隨意頒布給其他人。證書移交紀錄應至少包含：

- 本公司的推薦信。
- 證書本身。
- 標誌使用規則。
- 標誌電子檔。
- 滿意度調查表。

應複製一份證書，同時附上所有可以證明批准的文件，並將前述文件放在客戶檔案內，或掃描後歸檔至文件伺服器內。

The signed certificate is sent to the client at his address or any other address he has specifically requested. The certificate shall not be issued to any other person without a written approval from the client. The certificate docket shall contain at least the following

- Cover letter from Company
- Certificate
- Rules for use of Certification Mark
- Soft copy of the logos.
- Customer survey form

A copy of the certificate together with all other documents supporting the approval shall be placed in the client's file or scanned in and stored on the doc server.

4.3 變更證書 CHANGE IN CERTIFICATE

客戶可以要求變更證書，要求原因可能為：

- 經營權變更。
- 公司名稱變更。
- 公司地點變更。
- （提供的產品或服務等）驗證範圍有所增列或減列。
- （起始或結束的場區等）地點有所增列或減列。

The client may request for change in certificate. This may be due to –

- Change in ownership
- Change in name of the company
- Change in location
- Increase or decrease in scope (products, services offered etc.)
- Increase or decrease in locations (opening / closing of site etc.)

客戶可向**總經理**提出變更證書，或減列／增列範圍的要求，倘若下次稽核不會在近期截止，或是該證書不會被推薦，上述要求則會由**總經理**進行審查並決定是否要進行特殊稽核，同時**總經理**也應判定這些變更範圍是否符合本公司之認證範圍。

Client may request for change in certificate or reduction / expansion in scope to General Manager. General Manager shall review the request and decide for a special audit if the next audit is not due in near future or if the next audit cannot be proposed. General Manager also determines if the changed scope is within accreditation scope of Company.

若公司名稱或地址有變更，但管理系統沒有變更，客戶應提交政府同意變更之證明；但若其他細項跟管理系統皆有變更，則應將待批准的細節連同要求一併提交。

In case of change in name of company or location without any change in management, the client shall submit government approval for the change. Where the management has changed, the details of required approval shall be submitted along with the request.

特殊拜訪期間應由**總經理**主導，並與客戶溝通；稽核組長應繳交描述性報告，報告應詳細列出所有變更、減列／增列驗證範圍的正當性，以及評估（使用標誌等）範圍變更會帶來的影響。若客戶有提出增列範圍的要求，則會查證各別活動是否有符合管理

系統，以及其他過程的影響。為防止特殊拜訪變成執行例行性追查的一環，描述性報告會附在追查報告內。

The duration for the special visit shall be decided by General Manager and communicated to the client. The lead auditor submits a descriptive report detailing the changes, justification for reduction/ expansion of scope and review of the impact of change in the scope (use of logos etc). Where expansion of scope is requested, the compliance to MS for the respective activities and impact on other processes is verified. In case the special visit is carried out as a part of routine surveillance, the descriptive report is added to the surveillance report.

報告會依照上述細項進行審查，成功完成上述過程後新證書核發日期將與原證書日期相同，**總經理**將審查合約，以決定與後續拜訪時程相關的合約變更。

The report is reviewed as detailed in above. A new certificate is issued with the same expiry date on successful completion of the above process. General Manager reviews the contract to determine change in contract w.r.t. duration for further visits etc.

4.4 暫時終止、終止、取消證書 SUSPENSION AND WITHDRAWAL OR CANCELLATION OF CERTIFICATES

此說明涵蓋終止、取消認證證書，和修改核准公司名冊的暫時終止程序。

- 採取暫時終止、終止、取消等動作的事由將提請**總經理**注意，**總經理**會予以審查並決定是否繼續。無論結果為何，**總經理**都將會以郵寄/電郵，告知他們所採取動作的細節及是否要繼續。
- 若**總經理**決定繼續動作，客戶必須在收到信後 14 天內回覆本公司。
- 若**總經理**認為客戶回覆之行動或立場令人滿意，將發信說明，並通過郵寄/電郵通知客戶。
- 若需要採取措施，則必須設立截止日期，且**總經理**必須在期間內審查這些措施，確保措施能有效地實施，以防止暫時終止或取消。
- 若客戶未在 14 天內回覆、回覆表示結果令人不滿意，或沒有在准許的時間內完成要求，**總經理**將決定是否暫時終止或取消驗證。
- 若決定取消驗證，**總經理**會負責暫時終止客戶，或將客戶從核准公司名冊中移除，**總經理**將以掛號信郵寄告知客戶，並在必要時公布取消情況。

This instruction covers suspension procedures through withdrawal or cancellation of the certification certificate and revision of the register of approved firms.

- Grounds for action are brought to the attention of the General Manager, who reviews the information and decides whether to proceed. Either way, the he / she issues a letter to the client via registered mail/email advising them of the details of the grounds for action and the decision on whether to proceed.
- If the General Manager decides to proceed, the client must reply to Company within fourteen days of receipt of letter.
- If the General Manager determines that the action or position contained in the client reply is satisfactory, he issues a letter stating this, and mails it to the client via registered mail.

- If actions are required, due dates must be set and General Manager must review the actions at those times to ensure that they are effectively completed in order to prevent suspension or cancellation.
- If the client does not reply in fourteen days, if the reply is not satisfactory, or if the actions required are not effectively completed in the allowed time, the General Manager determines whether to suspend or cancel certification.
- If the decision is made to cancel certification, the GENERAL MANAGER is responsible for suspending the client or canceling the client from the Register of Approved Firms, advising the client by registered mail/email, and publicizing the cancellation.

以下原因將被視為暫時終止或取消證書之理由：

- 未在指定時間內執行重大不符合事項或有效的糾正措施。
- 不當使用證書、標誌、符號，且無令本公司滿意之補救措施。
- 客戶長時間停止供應經認證品質系統生產的產品或服務。
- 客戶已通過驗證的管理系統一直未能符合任何驗證要求，包括對管理系統有效性之要求。
- 客戶未能履行對本公司之財務義務。
- 客戶提出要終止驗證的正式請求。
- 客戶違反與本公司簽訂之合約內容。
- 客戶無法或不願保證遵守修訂之標準。
- 若有嚴重的抱怨，或大量來自第二或第三方之抱怨，則表示其品質管理系統沒有被維持。
- 客戶不依照規定的頻率進行追查稽核。

The following reasons are considered grounds for suspension or cancellation:

- Major non-conformance(s) or effective corrective action not implemented within a specified time period.
- Improper use of the certificate, symbol or logo not remedied to the satisfaction of Company
- Client ceases to supply product or service of the certified quality system for an extended period of time.
- Client's certified management system has persistently fails to meet any of the requirements for certification including requirements for the effectiveness of the management system.
- Client fails to meet financial obligations to Company
- Client makes a formal request to withdraw certification.
- Infringement by the client of any contractual conditions between the client and Company
- Client is unable or unwilling to ensure conformance to revisions of standards.
- Existence of a serious complaint, or a large number of second- or third-party complaints, which indicate that the quality management system is not being maintained.
- Client does not allow routine surveillance to be conducted at the required frequency

若客戶不遵照規定頻率進行追查稽核，則證書可能被暫時終止或取消。追查稽核需在上次稽核後的 12 個月內進行，若沒有在 12 個月內完成稽核（年度追查為 13 個月）證

書將被暫時終止，並寄信給客戶要求他們同意進行稽核。若延遲 3 個月（從最後一次稽核算起 15 個月），稽核時間應延長為追查稽核時間的一半（至少一天），若在 15 個月內完成稽核則不影響驗證。

The suspension or cancellation can be initiated if the client does not allow the routine surveillance to be conducted at the required frequency. The routine surveillance is carried out not more than 12 months from the last audit. In case the audit is not done within 12 months (13 months in case of yearly surveillance), the certificate is suspended and a letter is sent to the client requesting him to agree for the audit. In case of a delay up to 3 months (15 months from the last audit), the audit time shall be extended by 50% of the routine surveillance time (at least 1 day). Successful completion of the audit within 15 months shall not impact the certification.

若在 15 個月內未完成稽核，證書將被取消，且該客戶之案件將被視為新的驗證個案。

In case the audit is not done within 15 months, the certificate is cancelled and the client shall be considered as a fresh case for certification.

以上是針對特殊情況，如罷工、自然災害，或是商業營運（視情況而定）等。

The above are for special conditions like strike, natural calamities, business operations (case to case basis) etc.

4.5 暫時終止或取消客戶驗證之情況 CONDITIONS FOR SUSPENSION OR CANCELLATION OF CLIENT CERTIFICATION

根據客戶的行為，以下步驟可能導致客戶的驗證被暫時終止或取消：

- 若本公司沒有在 14 天內收到客戶的回覆，該驗證將會暫時終止，且本公司可自行決定發布暫停通知。
- 收到客戶的回覆後將會進行審查，整個流程會先暫緩，同時尋求澄清。
- 若要執行共同商定的矯正措施需要訂定執行的時間段，並在指定時間對矯正措施進行審查。這可能是特殊追查拜訪，或審查提交的客觀證據之主題，若本公司認為矯正措施不充分，或未在指定時間內完成，驗證將自動終止。
- 若情況嚴重，本公司可以在執行矯正措施之前提出終止。
- 在已經暫時終止驗證的情況下，除非另有規定，否則客戶必須每 14 天向公司通報一次執行矯正措施的情況。若不能滿足這項要求，將取消客戶的驗證。
- 若因為未能進行追查稽核而導致驗證被暫時終止，客戶應說明未能進行的理由，並提出適當的日期，同時應多增加一天的追加稽核日，且該日期應在上次稽核日的 15 個月內。若未能在 15 個月內進行稽核，驗證將被取消。
- 驗證將會在查證完客戶為解決問題所採取的矯正措施後恢復，驗證期限將不會因驗證曾暫時終止而進行修訂。

- 若在暫時終止驗證後，客戶未能在 14 天寬限期內做出回應，或未能在指定時間內執行矯正措施，則將取消驗證。
- 在極端情況下，本公司可能會立即取消驗證，無需訴諸最初的暫時終止驗證。
- 若取消驗證，未批准之驗證結果將由客戶自行承擔，並將所有驗證文件退還給本公司。
- 客戶若在取消驗證後使用驗證文件、符號、標誌，本公司可能會採取法律行動。
- 驗證取消後再重新批准，將比照新客戶初次申請之流程。這將需要進行全面評估，並且由本公司決定是否進行文件審查。
- 取消驗證之名單將單獨公布，名單可於本公司辦公室獲取，也可應要求提供。
- 客戶有權對本公司的任何決定提出申訴，亦可要求提供上訴程序的副本。
- 總經理應撤除證書被撤銷的公司。驗證暫時終止期間，應在核准公司名冊中標記暫時終止。
- 所有取消案件之客戶檔案，將於存檔 3 個月後銷毀。

Subject to actions by the client, the following steps will be taken leading to possible suspension or cancellation of the client's certification:

- Unless a reply is received to the letter accompanying notification within 14 days, certification will be suspended and a notification of suspension may be published at the discretion of Company
- The client's response to the accompanying letter will be reviewed and the proceedings may be put on hold while clarification is sought.
- Where mutually agreed-upon corrective action is to be implemented, a time period for implementation will be specified and a review of the corrective action undertaken at the appointed time. This may be the subject of a special surveillance visit or of review of submitted objective evidence, at the discretion of Company Should the corrective action not be considered adequate or not be completed by the appointed time, certification will be automatically suspended.
- In the case of serious circumstances, Company may invoke suspension during the period pending the implementation of corrective action.
- Where suspension has been invoked, unless otherwise specified, the client must advise Company every 14 days of the current situation of corrective action. Failure to meet this requirement will result in cancellation of the client's certification.
- Where suspension has been invoked due to failure to conduct surveillance audit, the client shall give justification for failure and offer suitable date. An additional day shall be added to routine surveillance days. The date shall not be later than 15 months from last audit. Failure to offer for audit within 15 months shall result in cancellation of certification.
- When corrective action to resolve the problem(s) taken by the client has been verified, certification will be resumed. The period of certification will not be revised to cover the period of suspension.
- Cancellation of certification will be invoked where, following suspension of certification, the client fails to respond to Company communications within the 14-day grace period or fails to implement corrective action within the appointed time period.
- In extreme circumstances Company may invoke the cancellation of certification with immediate effect without recourse to initial certification suspension.

- Cancellation of certification will require the client to assume the status of non-approval and return all certification documentation to Company
- Use of certification documents, symbols, or logos by the client following certification cancellation may result in legal action being taken against the client.
- Re-approval after certification cancellation will be on the same basis, and follow the same process, as that of initial application for a new client. This will require a full assessment, with optional document review at the discretion of Company
- The de-certification will be published as a separate list and will be available at the Company office and made available upon request.
- The client has the right to appeal any decisions of Company and a copy of the appeals procedures will be made available upon request.
- General Manager shall remove the companies where the certificate has been cancelled. During suspension, suspension remark shall be placed in the registered of approved firms.
- The client files for all cancelled cases shall be archived for a period of 3 months and then destroyed.

4.6 減列頒布的驗證範圍 REDUCTION IN SCOPE OF CERTIFICATES ISSUED

若本公司在例行追查稽核、重新批准、更新稽核期間，發現通過驗證的客戶持續出現嚴重不符合驗證範圍要求之情形，本公司將酌情減列驗證範圍，減列的範圍將由總經理批准。

Company shall wherever applicable reduce the scope of certification if during the time of routine surveillance audits/ Re approval or Renewal audits it finds that the certified client has continually / seriously failed to meet the certification requirements for those parts of the scope of certification. The reduction in scope will be approved by the General Manager

5. 參考資料 REFERENCES

5.1 ISO/ IEC 17021-1:2015

5.2 法規遵循清單 Legal Register

6. 紀錄 RECORDS

6.1 證書格式 Certificate formats

6.2 使用驗證標誌之規則 Rules for use of Certification Mark

6.3 客戶滿意度調查表 Client Feedback Form

6.4 批准公司／終止公司／暫時終止公司之註冊 Register of approved firms /
withdrawn firms / suspended firms