1.目的和範圍 Purpose & scope

本程序規定了管理系統驗證註冊資格之授與、拒絕、維持、更新、暫時終止、恢復、或終

止驗證、或增列或減列驗證範圍的條件和工作要求。

This procedure provides the conditions and requirements for granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing, expanding, reducing of certification scope of the management system certification registration.

2.職責 Responsibilities

2.1 驗證部負責提供驗證稽核、追查稽核和重新驗證稽核結果的全部資料；The audit department is responsible for providing all the information of certification audit, supervision audit and re certification audit results;

2.2 市場部負責提供對獲證客戶日常監督的資訊；The marketing department is responsible for providing information of the daily supervision to the certified customers;

2.3 驗證部負責組織安排驗證決定人員對註冊資格之授與、拒絕、維持、更新、暫時終止、恢復、或終止驗證、或增列或減列驗證範圍的審議管理；並負責最終批准處理決定。
The audit department is responsible for arranging certification decision person to review and manage the granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing, expanding, reducing of certification scope, and responsible for final approval of the decision;

2.4 專案部負責對註冊資格之授與、拒絕、維持、更新、暫時終止、恢復、或終止驗證、或增列或減列驗證範圍的相關通報。 The project department shall be responsible for the relevant notification of the granting, refusing, maintaining, renewing, suspending, restoring, or withdrawing, expanding, reducing of certification scope.

3.實施程序 Operating procedure

3.1 驗證註冊資格的授與、更新（更新適用於重新驗證）The granting and renewing of the certification registration (renewing is applied to re-certification)

3.1.1 授與、更新驗證資格的條件 The conditions of granting and renewing certification registration

3.1.1.1 驗證部組織驗證決定人員根據客觀證據進行評價，並在此基礎上由總經理最終審批。Audit Department arranges certification decision personnel to evaluate according to the objective evidence, and submit to general manager for final approval.

稽核組應向驗證決定人員提交以下資訊: The audit team shall submit the following information to certification decision personnel:

a）稽核計畫及稽核報告；Audit plan and audit report;

b）對是否授與驗證的推薦性意見及附帶的任何條件或評價；The recommendation on whether grant the certification and attached any conditions or evaluation;

c）對申請材料中相關資訊的符合性、準確性的確認意見；Confirmation opinion on the relevant information conformity and accuracy of the application materials;

d）不符合報告及其矯正措施有效性證據以及驗證和關閉意見和確定已改善不符合事項；Validity evidence for the NC report and its corrective action and the closing comments and determine the improvement items;

e）稽核記錄及其他相關證實性材料。Audit records and other relevant supporting materials

3.1.1.2 在此基礎上，具體應符合：On this basis, the specific should be consistent with:

a）受稽核方的管理系統文件基本符合標準要求；The management system documents of the auditee is basically in line with the requirements of the standard;

b）受稽核方的管理系統運行基本有效 ;The management system running of the auditee is basically effective;

c）受稽核方的產品品質/環境影響/危險源控制/食品安全管理等方面符合法律法規和有關標準，無違法違規、突發事故; The auditee product quality, environmental impact, hazard source control, food safety management is complied with laws and regulations and relevant standards, no violation of laws and regulations, unexpected accidents;

d）所有不符合項矯正措施均在規定期間內完成並經稽核組驗證有效; All non-conformance corrective actions are completed within the specified period and verified by the audit team.

e）在稽核中發現的受稽核方的嚴重不符合不超過兩項，且在稽核組規定的期限內（最長不超過六十個工作日），已實施了改正和矯正措施，並經驗證有效。Not more than 2 major NC items found in audit, and all the NC items have been taken corrective actions and verified effectively within the prescribed period (no more than 60 working days at the longest).

3.1.2 工作程序 Work procedure

3.1.2.1 稽核組長向驗證部提交現場稽核結果的全部資料，資料必須齊全且受稽核方的所有不符合項矯正措施經稽核組長驗證有效(矯正措施有效性驗證應在稽核組長收到受稽核方矯正措施後的一周內完成)。 Audit team leader shall

submit all the on-site audit result materials to audit department. The material must sufficient and all non-conformance corrective actions must be verified by audit leader (the effectiveness of corrective actions should be within one week after the leader receiving corrective measures).

3.1.2.2 驗證部提交之稽核結果全部資料後，選擇驗證決定人員進行審議；驗證決

定人員經 ARES 授權，並記錄於《ARES-FM-81 ARES 各類驗證人員清單》

名單中，要求如下: After receiving all the information，audit department will

select certification decision personnel to review; the certification decision

personnel requirements are as follows:

a) 參與驗證決定人員的資格，應符合公司的有關規定要求；Participate in the

qualification of the certification decision, should meet the relevant

requirements of the company;

b) 驗證決定人員必須具備相應大類資格，當受稽核方專業範圍跨類時，可

補充技術專家予以支援; The certification decision personnel must have the

corresponding categories qualification, when the auditee business area is

beyond the professional range，then technical experts can be added to support

c) 驗證決定人員應與該項稽核活動無關。Certification decisions personnel

should be independent of the audit activities

3.1.2.3 驗證決定人員在確認稽核組提供的驗證推薦專案的全部資料和受稽核方的

其他資訊沒有問題後，填寫相應《ARES-FM-21 稽核卷宗、流程評價及驗證

決定表》、《ARES-FM-21-1 稽核卷宗、流程評價及驗證決定表》，作出是否同

意驗證註冊的推薦結論。After confirming all the material provided by audit team

is OK, certification decision personnel will fill in the corresponding《ARES-FM-21

Certification decision for audit files and process evaluation》、《ARES-FM-21-1 Certification decision for audit files and process evaluation》, and decide whether recommend certification registration conclusion.

3.1.2.4 ARES 總經理根據驗證決定人員的結論，簽署相應的《ARES-FM-21 稽核卷宗、流程評價及驗證決定表》、《ARES-FM-21-1 稽核卷宗、流程評價及驗證決定表》，審批後由 ARES 總經理簽發驗證文件（即證書）。 According to the certification decision conclusion, ARES GM signs the《ARES-FM-21 Certification decision for audit files and process evaluation》、《ARES-FM-21-1 Certification decision for audit files and process evaluation》, and approves the certification document (i.e., Certificate)

3.1.2.5 驗證部接受到 ARES 總經理簽發的《ARES-FM-21 稽核卷宗、流程評價及驗證決定表》、《ARES-FM-21-1 稽核卷宗、流程評價及驗證決定表》後進行相應證書印製及登錄工作，並將證書轉交給市場部，由市場部快遞給受稽核方。 After receiving the《ARES-FM-21 Certification decision for audit files and process evaluation》、《ARES-FM-21-1 Certification decision for audit files and process evaluation》approved by GM，audit department will print corresponding certificate, and forwarded to the marketing department. The marketing department will deliver it to the auditee.

3.1.2.6 驗證部在公司網站上公佈授與或更新驗證的組織名錄。 Audit department publish or update a list of certified organizations on the company's Web site.

3.2 驗證註冊資格的維持 Maintain the qualification of certification

3.2.1 驗證註冊資格維持的條件 Conditions of maintaining certification registration qualifications

a)獲證方的管理系統運行良好，無嚴重不符合；The management system is running well, no major non conformity;

b)獲證方上次稽核的所有不符合矯正措施保持有效；The corrective action for last audit maintain effective;

c)獲證方的證書和標誌使用符合規定要求；The certificate and the use of the logo meet the requirements;

d)產品品質穩定、環境監測無違法超標、無環境與職業健康安全重大事故、無重大食安事件發生、無顧客/相關方重大抱怨；Product quality stability and no illegal in environmental monitoring, no major accidents on environmental and occupational health and safety, no major food safety incidents occurred, no customer, related party major complaints;

e)不符合矯正措施在規定期內提交稽核組驗證有效。Corrective action is submitted to the audit team within the specified period.

3.2.2 維持驗證資格的審批程序 Approval process of maintaining certification

3.2.2.1 驗證部收到追查稽核的全部資料，在對獲證方所有不符合矯正措施驗證有效後，驗證部選擇 ARES 驗證決定人員進行審議。稽核組對獲證方不符合矯正措施的驗證應在收到獲證方矯正措施驗證報告的一周內完成。若由於受稽核方矯正措施不到位，應立即通知受稽核方再提交，超出期限的應有充分理由，並作出書面說明。After receiving all the surveillance audit material including

all the NC items are closed, audit department will submit to the certification decision personnel to review and make the certification decision. The audit team shall be completed the NC verification within one week after receiving the corrective action. If the corrective action is not OK, he shall immediately notify the auditee to submit again, and provide sufficient reason, and make a written note.

3.2.2.2 ARES 驗證決定人員對稽核材料進行稽核審議或對稽核組推薦性意見進行

確認，以決定是否維持驗證資格。ARES 驗證決定人員在確認稽核組提供的

驗證推薦專案的全部資料和受稽核方的其他資訊沒有問題後，填寫相應

《ARES-FM-21 稽核卷宗、流程評價及驗證決定表》、《ARES-FM-21-1 稽核

卷宗、流程評價及驗證決定表》，作出是否同意維持驗證註冊的結論。 ARES

certification decision personnel review the audit file and the audit team recommendation opinion, and decide whether maintain certification. After confirming all the material provided by audit team is OK, ARES certification decision personnel will fill in the corresponding 《ARES-FM-21 Certification

decision for audit files and process evaluation》、《ARES-FM-21-1 Certification

decision for audit files and process evaluation》, and decide whether recommend certification registration conclusion.

3.2.2.3 後續驗證決定等工作執行 3.1.2.4-3.1.2.6 條款流程。Subsequent certification

decisions work will be implemented the 3.1.2.4-3.1.2.6 terms of the process.

3.2.2.4 若出現可能導致暫時終止或終止驗證的不符合事項或其他狀況，稽核組長

應向驗證部報告，驗證部將委派具有適當能力，且不同於執行稽核之人員辦

理審查，以決定是否能夠保持驗證，並且由亞瑞仕公司有能力的人員監督其

稽核活動，包括監督其稽核員，以確認驗證活動有效地運作。 If it is possible

to suspend or withdraw the certification caused by major NC or other status, the audit leader will report to audit department，the audit department will appoint competent person that different from the audit staff to decide whether to maintain certification, and ARES will assign competent personnel to supervise the audit activities including the supervision of its auditor, to confirm the effective operation of the certification activities.

3.3 驗證註冊資格的暫時終止 Suspension of certification registration

3.3.1 獲證客戶有下列情況之一時，將被暫時終止驗證註冊資格 :Certified customer will be suspended certification registration if the following circumstances occurred:

a）追查稽核時，發現管理系統存在嚴重不符合，影響管理系統符合性和有效性；

Major NC during surveillance audit, which is affecting the management system compliance and effectiveness;

b）追查稽核後，不按稽核組規定提交不符合項的改正和矯正措施及實施結果或矯

正措施經驗證無效；After the surveillance audit, corrective actions and result are not provided in accordance with the audit provisions or the corrective action is invalid;

c）不按規定要求使用驗證證書和標誌，經指出後仍未矯正 ;Use certificates and signs illegally , and not corrected after pointing out;

d）不按規定交納驗證費，且指出後仍不交納；Does not pay the certification fee, and does not correct after pointing out;

e）被有關執法監管部門責令停業整頓的；Suspend business for rectification of law enforcement by supervision departments;

f）持有的與品質管制系統範圍有關的行政許可證明、資格證書、強制性驗證證書

等過期失效，重新提交的申請已被受理但尚未換證的; The administrative license certificate, certificate of qualification, mandatory certification related the quality management system scope is expired, and the reapplication has been accepted but not

yet replaced;

g）因獲證客戶的原因，不能按規定的追查稽核時限（第一次追查稽核超過初審/

重新驗證驗證決定日期 12 個月的，第二次追查稽核日期超過初審/重新驗證稽核

日期兩年的情況）；Certified customer does not comply with the surveillance audit

period (the 1st surveillance audit exceed 12 months of initial audit , re-certification

audit decision date, the 2nd surveillance audit exceed 2 years of initial audit,

re-certification audit decision date);

h）獲證客戶主動請求暫停；Certified customer request to suspend;

i）其他應當暫停驗證證書的。 Other status of certificates suspending.

3.3.2 發出暫時終止時獲證客戶的管理系統驗證暫時無效，按下述程序處理：When

certified customer is issued a suspension，the management system certification is

temporarily invalid, according to the following procedures:

a）稽核組根據 3.3.1a)等情況，在稽核現場決定暫停的，由稽核組長提出書面報告，

經總經理批准，驗證部下達《ARES-FM-31 驗證資格暫停和終止通知單》。當終

止或暫停恢復時，驗證部將《ARES-FM-33 恢復驗證資格通知書》報總經理批准

後寄給獲證企業。 According to 3.3.1a), when decided suspending during on site

audit，the leader submit a written report, approved by the general manager, the audit

department issued the《ARES-FM-31 Suspension revocation certification notice》.

When the withdrawing, suspending is renewed, the Audit Department will issue

《ARES-FM-33 Renewing certification notice》to the general manager for approval，

and send to the certified client.

b）發生 3.3.1.e)情況時，由驗證部派專業稽核組進行調查、稽核、提出整改要求限

期改進，屆時由專業稽核組確認，必要時按 3.3.2 a）處理 ;when 3.3.1.e) happened,

the audit department appoint a professional audit team to investigate, review, and put forward the rectification requirements for improvement, then the professional audit team confirm and handle, according to a 3.3.2 when necessary

c）驗證審議中做出暫時終止決定的，由驗證部根據決定，下達《ARES-FM-31 驗 證資格暫停和終止通知單》; When suspending certification is decided, the audit department issued a《ARES-FM-31 Suspension revocation certification notice》.

d）受稽核方不按期提交不符合項改正和矯正措施實施報告的，稽核組做出多次催 促不提交書面說明，應反映到驗證部。驗證部再次催交、溝通、仍不提交的做 出暫停建議，下達《ARES-FM-31 驗證資格暫停和終止通知單》;If the auditee does not submit the corrective actions report，or not submit a written note after audit team reminding several times，the audit department will make repeated urging. If there is still no response, will make decision of suspending suggestion, the audit department will report to GM for approval, and issue《ARES-FM-31 Suspension revocation certification notice》;

e）發生 3.3.1c）、d）、f）、g）及其他情況的，由驗證部下達《ARES-FM-31 驗證資 格暫停和終止通知單》; in the circumstances of 3.3.1c），d），f），g）or others，the audit department issue《ARES-FM-31 Suspension revocation certification notice》;

f）驗證部每月 10 日前將上月暫停驗證資格的組織名錄在公司網站上公佈，準確標 識其"證書狀態"及"暫停期限"。 Before 10th of every month， audit department publish the suspending organizations list of last month on the company's website, accurately identify its "certificate status" and "suspending period".

3.3.3 驗證證書暫停期一般為 3-6 個月。但屬於 3.3.1 f）項情形的暫停期可至相關單位作

出許可決定之日。Certification suspending period is generally 3-6 months. But in the case of 3.3.1 f) suspending period may be postpone to the date of the certification decision.

3.3.4 上述暫時終止後應獲證組織後續整改或要求恢復的，公司對該組織進行恢復受理，以追查稽核要求進行稽核。When certificate-suspending client require rectification or renewing the certification，the company shall handle and review via a written application, contract review，initial audit stage 1 and stage 2 audit according to the program requirement.

3.4 驗證註冊資格的終止或減列驗證範圍 Withdrawing or reducing the scope of certification

3.4.1 獲證客戶有下列情況之一時，將被終止或減列驗證範圍: Certified customer will be withdrawn and reduced the scope of certification in the following situation:

a）暫時終止驗證證書的期限已滿但導致暫時終止的問題未得到解決或矯正的（包括持有的與品質管制系統範圍有關的行政許可證明、資格證書、強制性驗證證書等已經過期失效但申請未獲批准）；The suspending of the certificate has expired but the problem has not been solved or corrected (including quality management system related administrative license, qualification certificate, mandatory certification has expired but the application is not approved);

b）獲證客戶管理系統嚴重失效，經追查稽核確認不能繼續保持正常運行，且在 3 月內無法矯正；Certified customer management system is a serious failure, the surveillance audit confirmed that can not continue to maintain normal operation, and can not be corrected within 3 March;

c）被註銷或終止法律地位證明文件的；Canceled or revoked of the legal status of the document;

d）拒絕配合驗證監管部門實施的監督檢查，或者對有關事項的詢問和調查提供了虛假材料或資訊的；Refused to cooperate with the supervision and inspection of the certification authority, or provide false materials or information on the matters relating to the inquiry and investigation;

e）出現重大的產品或服務等品質安全事故，經執法監管部門確認是獲證組織違規造成的；Major quality and safety accidents in the quality of products or services, and caused by the organization illegal activities confirmed by law enforcement and regulatory authorities;

f）有其他嚴重違反法律法規行為的；Other serious violations of laws and regulations;

g)沒有運行管制系統或者已不具備運行條件的 ;Does not run the management system or has no running conditions;

h）不按相關規定正確引用和宣傳獲得的驗證資訊，造成嚴重影響或後果，或者驗證機構已要求其改正但超過 2 個月仍未改正的；Does not comply the relevant provisions of the correct reference and publicity the certification information, resulting in serious consequences, or certification bodies has required to correct but it has not corrected more than 2 months;

i）其他應當終止驗證證書的。Other situations that should withdraw the certificates

3.4.2 稽核組根據3.4.1 a）、b）情況，分析獲證客戶是否在驗證範圍某些部分發生嚴重不符合或重複發生不符合，必要時可減列其驗證範圍，以排除不滿足要求的部分，但減列驗證範圍的管理系統仍應符合標準要求。稽核組長在經獲證客戶同意後提出報告報驗證部處理。 According to 3.4.1 a), b), audit team analysis whether certified clients has some major NC items or repeated NCs, reduce the scope of certification if necessary, to exclude the part not meeting the requirements, but after reducing the scope of certification，the management system should meet the standard requirements. The audit

leader shall submit the report to the audit department after confirmed with the customer.

3.4.3 稽核組根據 3.4.1 a）、b）情況，發生 3.4.1. c)情況時，由驗證部派專業稽核組進行調查、稽核、提出整改要求限期改進，屆時由專業稽核組確認，必要時按 3.4.2 處理。 In the situation of 3.4.1 c), according to 3.4.1a), b), the audit department will appoint professional audit team to conduct investigation and rectification requirements, and then confirmed by the professional audit team, and deal with it as 3.4.2 requirement when necessary.

3.4.4 當管理系統不能減列驗證範圍，公司做終止或暫停處理時，由驗證部提交《ARES-FM-32 驗證資格終止/暫停處理審批表》由驗證部和專案部組織調查確認簽字，報管代批准。市場部製作《ARES-FM-31 驗證資格暫停和終止通知單》發送給獲證客戶。當終止或暫停恢復時，驗證部將《ARES-FM-33 恢復驗證資格通知函》報總經理批准後寄給獲證客戶。When the management system certification scope can not be reduced，and the company will suspend or withdraw the certification, audit department will submit《ARES-FM-32 Suspending withdrawing certification approval form》, audit department and project department organize investigation, confirmation and signing, approved by the MR. The marketing department make the《ARES-FM-31 Suspension revocation certification notice》and send to the customer. When renewing the withdrawing, suspending certification, the audit dept. will issue《ARES-FM-33 Renewing certification notice》 to general manager for approval, and then send to the customer.

3.4.5 管理部於每月 10 日前將上月暫時終止或終止驗證資格的組織名錄公佈在公司網站

上，準確標識其"註冊狀態"，同時按規定程序和要求上報上級主管部門。Before 10th of every month，management department publish the suspending or withdrawing certification organization list on the company's web site, accurately identify its registration status, and report to the supervision department.

3.4.6 終止驗證證書後，管理部將及時通知客戶寄回終止的驗證證書。若無法收回，管理部在 20 個工作日內在相關媒體和網站上公佈或聲明終止決定。After withdrawing certification, the management department will promptly notify the customer to send back withdrew certificate. If unable to take back, the management department will publish or declare this decision on related media and website within 20 working days.

3.5 當任何團體（或個人）請求時，管理部應正確地說明客戶的管理系統驗證暫時終止、終止或減列的狀況。When requested by any group (or individual), the management department should correctly explain the situation of the customer's management system certification suspending, withdrawing or reducing status.

3.6 若市場部收到客戶關於已授與驗證範圍之增列申請，應作出回應並進行申請審查，以及決定任何必要之稽核活動，以決定是否可授與增列範圍。此項作業可與追查稽核一併執行。If the marketing department receives a client's application for the expansion of the certification scope, it shall respond and apply for the review, and determine any necessary audit activities，to determine whether the expansion scope can be granted. This operation can be performed with the surveillance audit.

3.7 驗證註冊資格的拒絕：客戶申請的驗證範圍是否在本公司的認證範圍內。如不在認證範圍內，首先需在與副總經理溝通，該專案的屬於哪個專業類別，然後在驗證管理系統內查詢公司有無滿足該申請專案的相應專業能力的人員最後和客戶溝通頒發不帶協

力廠商認證標記的 ARES 證書，如公司不具備滿足該申請專案的相應專業能力的人員

或客戶不同意不帶認證標記的 ARES 證書的，則作為申請失敗處理。 Verify the rejection of the registration status: whether the scope of the client's application is within the scope of the certification. If it is not within the scope of certification, the first need to communicate with the deputy general manager, the project belongs to which professional category, and then in the certification management system to inquire whether the company has personnel who meet the corresponding professional capabilities of the applied project and finally communicate with the customer to issue the certificate without certification, for an ARES certificate with a third-party certification mark. If the company does not have the corresponding professional ability to meet the application of the project or the customer does not agree with the certification mark of the ARES certificate, as the application failed to deal with.

Rejection of verification registration qualification: Whether the verification scope applied by the customer is within the company's certification scope. If it is not within the scope of certification, you first need to communicate with the deputy general manager to determine which professional category the project belongs to, then check in the verification management system whether the company has personnel who meet the corresponding professional capabilities of the applied project, and finally communicate with the customer to issue the certificate without certification. For an ARES certificate with a third-party certification mark, if the company does not have the personnel with the corresponding professional capabilities to meet the application project or the customer does not agree with the ARES certificate without the certification mark, the application will be treated as failed.

3.8 本程序涉及驗證證書的頒發、恢復、停用和作廢、收回及驗證標誌的使用和停用等要

求，按 ARES-WI-20《公開文件-驗證證書及驗證標誌使用規則》辦理。 This procedures involves the requirement of certificate granting, renewing, suspending, withdrawing, taking back and the use of certification marks, which is conducted according to the ARES-WI-20 《public document- certification certificate and certification mark usage rules》.

4.引用文件

4.1 ARES-QP-02《驗證稽核程序》Certification Audit Procedure

4.2 ARES-WI-20《公開文件-驗證證書及驗證標誌使用規則》Public document- certification certificate and certification mark usage rules

5.使用表單 Form

5.1《ARES-FM-21 稽核卷宗、流程評價及驗證決定表》《ARES-FM-21 Certification decision for audit files and process evaluation》

5.2《ARES-FM-32 驗證資格終止/暫停處理審批表》《Suspending withdrawing certification approval form》

5.3《ARES-FM-31 驗證資格暫停和終止通知單》《ARES-FM-31 Suspension revocation certification notice》

5.4《ARES-FM-33 恢復驗證資格通知書》《ARES-FM-33Renewing certification notice》

5.5《ARES-FM-81 ARES 各類驗證人員清單》《ARES-FM-81ARES certification personnel list》

5.6《ARES-FM-21-1 稽核卷宗、流程評價及驗證決定表》《ARES-FM-21-1 Certification decision for audit files and process evaluation》