

	亞瑞仕國際驗證股份有限公司 ARES INTERNATIONAL CERTIFICATION CO., LTD. 公開文件—保密性管理規定 confidentiality management rules	編號 No. : ARES-WI-15 頁碼 page:3
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1 目的 Purpose

遵照有關法律法規,對ARES在驗證/查證活動中獲得的資訊保密，以保護受稽核方或委託人的權益及維護ARES的信譽。We assure all information got from assessment process will be kept absolutely confidential, for protecting supplier and application's right and interest and also company's reputation.

2 範圍 Scope

本規定適用於ARES所有人員（含管理委員會委員、以ARES名義工作的外部人員）。This document is applicable to all ARES staff(contain management committee, work in the name of ARES)

3 職責 Responsibility

ARES負責實施,相關主管人員有責任保證本規定的有效執行。All AERS staff should keep this document be carried out smoothly.

4 規定 Provision

4.1 須保密的資訊包括：Following information must be keep confidential.

- a) 申請人提交的資料及文件；Submitted material and document of application.
- b) 稽核/查證中所獲取的有關資訊、不合格項報告、稽核/查證報告及相關記錄；Reference information, non-conformity report, assessment report and reference record.
- c) 申請人要求進行保密的資訊；Application required information.
- d) 本機構管理系統文件及有關的資訊；our company's document and reference information.
- e) 不是來自於客戶（例如抱怨者或法規管理者）有關客戶之資訊Other information not from customer, such as complainer and legal supervisor
- f) 涉及保密的其他資訊。Other information related the confidentiality

4.2 保密資訊分級：Classification of confidential information

保密資訊根據需保密程度，涉及範圍及洩密影響性，劃分為重要保密資訊和普通保密資訊。公司內部人員資訊（含稽核員、管理人員、技術專家等）、稽核檔案資訊（含申請評審、稽核方案管理、稽核現場資料、受稽核方申報資料等）、ARES管理系統文件為重要保密資訊；

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ARES接收外來文件、內部公告通知文件、宣傳資料等為普通保密資訊。Confidential information is classified into important confidential information and general confidential information according to the degree of confidentiality, the scope of involvement and the impact of leakage. The company's internal personnel information (including auditors, managers, technical experts, etc.), audit archives information (including application review, audit program management, audit site data, audited party declaration information, etc.), ARES management system documents as important confidential information. ARES receives foreign documents, internal notices, notices, publicity materials, etc. as confidential information.

重要保密資訊和普通保密資訊均應參照本文件4.3—4.5條款規定執行。Important confidential information and general confidential information shall be implemented in accordance with the provisions of articles 4.3 to 4.5 of this document.

4.3.1 ARES妥善保管4.1的文件、資料與記錄，並將其放置在上鎖且專屬文件櫃內，任何人不得抄錄複製，也不得在任何場合以任何方式擴散和傳播。ARES 內部以標準作業程序 (驗證作業SOP: ARES-QP-06&11, 查證作業SOP: ARES-VP-06&11) 做為文件與記錄的存取控管。ARES should be properly kept 4.1 documents, materials and records, and place them in the locked appointed file cabinets, nobody can copy or diffuse and spread in any way on any occasion. The access management to locked cabinets are defined in ARES internal SOP ARES-QP-06&11 for certification, ARES-VP-06&11 for verification.

4.3.2 非驗證/查證活動需要，未經批准，所有人員不得將需保密的資訊私自從工作場所帶出。Without approval, all staff shall not be allowed to carry confidential information out from workplace, except for assessment need.

4.3.3 進行現場稽核/查證時，稽核/查證組組長應向被稽核方申明本機構的保密規定。Assessor leader shall declare company's confidential rules to customer when perform on-site assessment.

4.3.4 稽核/查證組所有成員，在現場稽核/查證中借用的各類文件和資料，待稽核/查證結束必須全數還清，不得留做他用。To all assessors, all materials and documents used in assessment activity shall be returned after on-site assessment, can't be used for other purpose.

4.3.5 稽核/查證組所有成員，在現場稽核/查證時不得以個人名義向被稽核方索取任何文件和資料。

to all assessors, can't request any document and material in name of personal.

4.3.6 對驗證稽核/查證所瞭解的被稽核方管理及技術資料嚴格保密。

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keep confidential for all management and technical document of customer.

4.3.7 在系統記錄的鑑別、管理和處理過程中應注意資料的保密性。

keep confidential for information when input in ARES work system

4.3.8 稽核組組長應在末次會議上向被稽核方告知該組織的相關證書資訊將被放在ARES網站上向社會公開，證書資訊包括客戶（或多場區驗證範圍內之總部及任何場區的地理位置）之名稱、相關的規範性文件、範圍及地理位置。所有其他資訊，除了客戶可以公開之資訊以外，都將予以保密。Assessor leader should inform the customer in the last meeting that relevant certificate information will be placed on ARES website publicly. Certificate information including customer's company name (or multiple sites are within the scope of assessment by headquarters and any area location), relevant regulatory documents, scope, and geographic location. All other information will be confidential except assessed company permit to public.

4.3.9 披露保密資訊的注意事項: Note for the disclosure of confidential information:

- a) 當由於工作(例如: 驗證機構評鑑、主管機關年度查核等)需將機密資訊提供給驗證機構、同行評鑑方案之協議團體時，應將此項措施通知其客戶,並得到客戶書面同意。When the confidential information must be provided to certification bodies, peer group assessment scheme of the agreement(for example: evaluation, annual audit by the competent authority, etc.), shall notify the activity to the customer, and get the official permission of the customer.
- b) 當在履行法定責任時需要提供客戶之機密資訊時除非法律另有規定，否則應將所提供之資訊預先通知相關客戶或個人。When fulfill the legal responsibility, need provide the confidential information of the customer, should notice related customers or person, unless defined in law provision.

4.4 保密承諾confidentiality commitment

4.4.1 ARES所有人員均應簽署ARES-FM-43《公正性與保密承諾書》，並對接觸的有關資訊予以保密。

ARES all staff should sign the ARES-FM-43《Impartiality and confidentiality undertaking》，and assure keeping relevant information confidential.

4.4.2 參與稽核/查證之相關人員在參加稽核/查證前應做出公正性承諾。

all relevant participate in the assessment should commit the fairness before perform the assessment.

4.4.3 在驗證/查證活動中，為避免外聘的稽核/查證員或專家與申請人（或已驗證的受稽核方）存在利害關係，應事先向申請人提供外聘人員的專業背景資料和所在機構的資訊，以徵得申

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請人的同意。否則，外聘人員應迴避參與相關驗證/查證活動或不能接觸有關文件與資料。

During the assessment performance, for avoiding external assessor or expert have interest relationship with the customer, shall notify the customer, and provide external personnel's professional background and the organization's information to the customer. Otherwise, the external personnel can't perform the assessment or avoid contacting relevant documents and materials.

4.5 凡違反本規定而造成後果，由責任人負責。ARES總部將根據情節輕重給予其行政處分直至追究法律責任。Whoever in violation of these provisions and cause consequences shall undertake the responsibility. ARES headquarters will punish the responsible person and investigate legal responsibility.