

文件類別	Operational Procedures of Exceptions for Overseas Organic Certification 境 外有機異常事件處理程序	文件編號	版本	頁數
程序類		UCS-OP-002	A2	7

1. Purpose 目的

The cases of UCS's certified clients or their related members are inspected and verified as abnormal situation by the agricultural administration unit/TAF are considered the exceptions of UCS agricultural products certification department, or the clients are considered with high risk will be managed by the procedures. 本公司驗證通過客戶之本身或相關成員，經農政單位/TAF 抽查屬異常狀況時，所通報本公司之案件，應納為本公司農產品驗證部之異常事件，或被列為高風險客戶，依此程序辦理。

2. Applicable scope 範圍

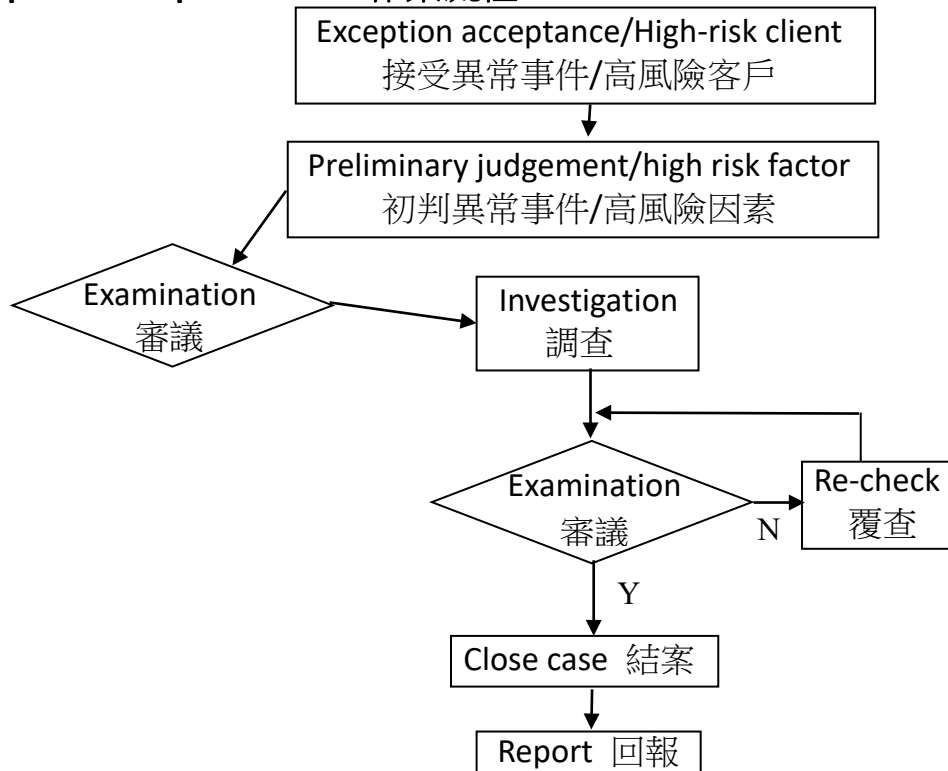
- 2.1 The types of the product with abnormal problems are produced by the clients who have passed UCS's certification. 有異常問題之產品種類為本公司驗證通過之客戶。
- 2.2 The clients who have passed UCS's certification, but their product types with abnormal problems have not passed the certification. 雖然為本公司驗證通過之客戶，但有異常問題之產品種類未通過驗證。
- 2.3 The clients with abnormal product problems who have not passed UCS's certification, but are affiliated with the company which was certified by UCS. 未通過本公司驗證通過之客戶，但隸屬於本公司驗證通過之單位組織內之產品異常問題。
- 2.4 Other abnormal problems. 其他異常問題。
- 2.5 High-risk clients. 高風險客戶。

3. Responsibility 職責

- 3.1 Exception acceptance/Classification by examination – All UCS employees/Lead auditor. 接受異常事件/審議分級–全公司成員/主導稽核員
- 3.2 Preliminary judgement of exception/High-risk clients – Supervisor of UCS agricultural products certification department/Management representative. 初判異常事件/高風險客戶–農產品驗證部主管/管理代表
- 3.3 Investigation – Risk evaluation team. 調查–風險小組
- 3.4 Close case – Supervisor of UCS agricultural products certification department/Vice general manager. 結案–農產品驗證部主管/副總經理
- 3.5 Report – Supervisor of UCS agricultural products certification department/Management representative/Leader of risk evaluation team. 回報–農產品驗證部主管/管理代表/風險小組長

文件類別	Operational Procedures of Exceptions for Overseas Organic Certification 境 外有機異常事件處理程序	文件編號	版本	頁數
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4. Operational procedures 作業流程



5. Operational content 作業流程

5.1 Exception 異常事件

5.1.1 When UCS employees receive the exceptions related to the clients of agricultural product certification from agricultural administration unit/TAF (including the clients whose products fail to pass the testing of market sampling), they shall report to supervisor of UCS agricultural products certification department/management representative immediately. 公司同仁接受到從農政單位/TAF 之農產品驗證客戶相關之異常事件時(包含市抽不合格之客戶)，應立即報告農產品驗證部主管/管理代表。

5.1.2 Supervisor of UCS agricultural products certification department/management representative shall make preliminary judgement to distinguish the exceptions as 4 kinds of case below: 1. The types of the product with exceptions are produced by the clients who have passed UCS's certification; 2. The clients who have passed UCS's certification, but their product types with exceptions have not passed the certification; 3. The clients

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with product exceptions who have not passed UCS's certification, but are affiliated with the company which was certified by UCS; 4. Other exceptions (such as incorrect labeling, impeachment case etc.) 農產品驗證部主管/管理代表應在異常事件處理單做出初步的判斷，分四種情況：第一、有品質異常問題之產品種類為本公司驗證通過之人員；第二、雖然為本公司驗證通過之人員，但有品質異常問題之產品種類未通過驗證；第三、未通過本公司驗證通過之人員，但隸屬於本公司驗證通過之單位組織內之產品品質異常問題；第四、其他異常問題（如標示異常、檢舉案等）。

5.1.3 If the case is the first condition of 5.1.2, and it's due to the issue of client: 若為 5.1.2 之第一種異常狀況，且為客戶端問題：

(1) If the case is the client with single item of organic crop certification, an interim examination meeting will be held to decide the certification of the item will be temporarily suspended. 若為有機作物驗證單品項客戶，召開臨時審議報告，決定暫時終止驗證該品項。

(2) If the case is the client with multiple items grown in single field of organic crop certification, the last auditor will notify the client and ask to provide valid evidence within 1 day to prove that the other items are without the same issue, then an interim examination meeting will be held to decide the certification of the item will be temporarily suspended. If there is no valid evidence, all items will be temporarily suspended. 若為有機作物驗證多品項單田區客戶，則由前次稽核員通知客戶，請客戶於 1 天內提供有效證據可證明其他品項不會有相同異常事件產生，則召開臨時審議報告，決定暫時終止驗證該品項。若無有效證據則暫時終止全品項。

(3) If the case is the client with multiple items grown in multiple fields of organic crop certification, the last auditor will notify the client and ask to provide valid evidence within 1 day to prove that there is no possibility the field with exception will contaminate the other fields, then an interim examination meeting will be held to decide the certification of the related items and the field with exception will be temporarily suspended. If there is no valid evidence, all items will be temporarily suspended. 若為有機作物驗

文件類別	Operational Procedures of Exceptions for Overseas Organic Certification 境 外有機異常事件處理程序	文件編號	版本	頁數
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證多品項多田區客戶，則由前次稽核員通知客戶，請客戶於 1 天內提供有效證據可證明該異常品項種植田區，且不會造成其他田區污染之可能性，則於臨時審議報告，決定暫時終止該異常品項田區及相關品項。若無有效證據則暫時終止全品項。

(4) If the case is the client of organic processing, packaging and distribution certification, the last auditor will notify the client and ask to provide valid evidence within 1 day to prove the supplier of the exception item, then an interim examination meeting will be held to decide the certification of the item and related products of the supplier will be temporarily suspended. If the supplier can effectively prove that other products have no possibility of exception, only the specific item will be temporarily suspended. 若為有機加工、分裝、流通客戶，則由前次稽核員通知客戶，請客戶於 1 天內提供有效證據可證明該異常品項之供應商，則於臨時審議報告，暫時終止該品項及其供應商之相關產品。若此供應商可有效證明其他產品無造成異常之可能性，則可暫時終止該異常品項。

5.1.4 If the case is the first condition of 5.1.2, and it's not due to the issue of client, UCS will inform the client to provide supporting information to prove it within 3 days. If not provided, an interim examination meeting will be held to decide the certification of the client will be temporarily suspended. The item and the method of temporary suspension are according to 5.1.3. 若為 5.1.2 之第一種異常狀況，判定非客戶端問題，將會告知客戶需於 3 日內提出佐證資料，若客戶 3 日內無法提出，則召開臨時審議，暫時終止驗證該客戶，暫時終止品項及方式則依 5.1.3 辦理。

5.1.5 If the case is the second, third and fourth condition of 5.1.2, an interim examination meeting will be held to decide the way to deal with. 若為 5.1.2 之第二、三、四種異常狀況則召開臨時審議，依審議決定。

5.1.6 If the examination decision is made to conduct temporary suspension, a letter shall be sent to the client no later than the next day of the examination decision, and to notify the client that the products with exception shall be taken off the shelf. UCS will proceed "temporary suspension of certification"

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in Taiwan Organic Agriculture System immediately. The period of temporary suspension is scheduled for 3 months. If the investigation of exception is concluded, the report will be reviewed in the examination meeting to decide if the certification can be resumed. 審議決定若需執行暫時終止，應最晚於審議決定隔天發函或電子郵件通知客戶，並請客戶將該異常產品下架回收，並立即於台灣有機農業資訊網上註明暫時中止。暫時終止期間預定 3 個月，若異常事件調查結案，即於審議會報告，決議可恢復驗證通過。

5.2 Supervisor of UCS agricultural products certification department/management representative will dispatch the risk evaluation team (two auditors at least) according to different exceptions to conduct the audit. 農產品驗證部主管/管理代表依不同異常事件指派風險小組(至少 2 位以上)進行稽核。

5.3 High-risk clients 高風險客戶

5.3.1 The cases which were considered to be high-risk clients in examination meeting will be notified by a written notice that an irregular surveillance will be added annually. The notice shall be sent within 7 working days for the latest after the examination meeting. 依審議決議之高風險客戶則於審議後最晚 7 個工作天發書面通知告知客戶需每年增加一次不定期追查。

5.3.2 The risk evaluation team conducts irregular surveillance based on the causes of high risks. 由風險小組針對造成高風險之原因進行不定期追查。

5.4 After the investigation of the risk evaluation team, if it's discovered that the client is with defect, risk evaluation team need to issue non-conformance report and ask operator to improve it within a time limit. 經風險小組調查之後，發現為客戶缺失時，需開立不符合事項報告，並限期改善。

5.5 The risk evaluation team will send the investigation report to the examination team within the time limit (if it's not limited, it shall be within one month after the audit for the latest). The examination team will make certification decision in accordance with ISO/IEC 17065:2012 #7.11, and send a letter to reply to the relevant units. 風險小組於期限內（若無限定，最晚稽核後一個月內）將整份調查報告送至審議小組，審議小組依 ISO/IEC 17065:2012 #7.11 作出驗證決定，並回覆相關單位。

文件類別	Operational Procedures of Exceptions for Overseas Organic Certification 境 外有機異常事件處理程序	文件編號	版本	頁數
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5.6 According to ISO/IEC 17065:2012 #7.11, when the operator does not meet the certification requirements, appropriate measures as follows shall be considered and determined: 依 ISO/IEC 17065:2012 #7.11，當業者不符合驗證要求時，應考慮與決定適當措施，如下：

5.6.1 Conditional maintained certification, including increase of annual surveillance. 有條件的持續驗證，包含增加年度追蹤查驗次數。

5.6.2 Reduction of certified scope to remove the product categories that do not meet certification requirements. 減列驗證範圍，以移除不符合驗證要求之產品類別。

5.6.3 Keep temporary suspension of certification for some or all product categories while the client is taking corrective action. 在客戶採取補救措施時，持續暫時終止驗證部分或全部產品類別。

5.6.4 Termination of certification. (The operator fails to keep conforming to the relevant provisions of the certification standards in a serious manner or fails to make correction within the time limit required by UCS). 終止驗證（未持續符合驗證基準，經要求限期改正而未改正或情節重大者）。

Note: When the product inspection of operator fails to comply with the regulations, the resolutions that the examination team may make are as follows: 備考：當農產品經營業者其產品檢驗不符合規定時，審議小組決議依循如下：

a) When it's the first occurrence for the operator of production and processing, launch temporary suspension and investigate immediately. 生產者、加工業者初次發生時，立即暫時終止暨啟動調查。

i) If the investigation result is involuntary (such as contamination of adjacent fields), the scope of certification (including items and/or lands) needs to be reduced before resuming the certification. 調查結果若非自願的（如鄰田汙染），則恢復驗證前需減列驗證範圍（含品項和/或土地）。

ii) If the investigation result is a violation of the regulations by operator, the certification shall be terminated. 調查結果若屬本身違反規定，則終止驗證。

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b) When it's the first occurrence for the operator of packaging and distribution, launch temporary suspension and investigate immediately. 分裝、流通業者初次發生時，立即暫時終止暨啟動調查。

i) If the investigation result is involuntary (such as supplier problems), the scope of certification (such as items) shall be reduced and/or the rights of usage of marks shall be restricted before resuming the certification. 調查結果若非自願的（如供應商問題），則恢復驗證前需減列驗證範圍（如品項）和/或限縮標籤使用權限。

ii) If the investigation result is a violation of the regulations by operator, the certification shall be terminated. 調查結果若屬本身違反規定，則終止驗證。

c) In the condition of recurrence within three years by operators of production, processing, packaging and distribution, basically the certification shall be terminated in examination meeting immediately. However, the final decision shall be based on the examination resolution. 生產者、加工、分裝、流通業者三年內再度發生時，原則上立即審議終止驗證，但最終依審議決議為主。

d) If there is a special circumstance, the decision will be based on the resolution of examination team. 若有特殊狀況，依審議小組決議為主。

5.7 Supervisor of UCS agricultural products certification department/Management representative/Leader of risk evaluation team summarize related records of exception to vice general manager. The case can be closed after getting confirmation of vice general manager. 由農產品驗證部主管/管理代表/風險小組長將異常事件之相關資料彙整一併呈副總經理，副總經理需確認後方可結案。

5.8 All related documents including reports and records shall be archived in agricultural products certification department. 所有相關資料包含報告和紀錄皆備檔於農產品驗證部總部。