工廠檢查紀錄
Factory Inspection Record

<table>
<tr><td>受理編號：
Application no.:</td><td></td><td>生產廠場：
Factory:</td><td></td></tr>
<tr><td>廠　　址：
Address:</td><td colspan="3"></td></tr>
<tr><td>法定證明文件：
Legal documents:</td><td colspan="3">境內：
For factory located in Taiwan:
☐公司或商業登記證明。
Certificate of company registration or commercial registration
☐工廠管理輔導法之證明：
Supporting documents of being incorporated into the government management according to Factory Management Act:
☐工廠登記證明。
Certificate of factory registration.
☐臨時登記文件。
Temporary document of registration.
☐其他證明（如免辦、納管、改善計畫等核定函）。
Other supporting document of being incorporated into the government management.
境外：
For factory located outside Taiwan:
☐公司或工廠登記證明(supporting document of company or factory registration)。
☐最近一期納稅證明(supporting document of latest tax payment)。</td></tr>
<tr><td colspan="3">總員工數：
Total number of employees:</td><td></td></tr>
<tr><td colspan="3">參與已驗證商品生產之員工數：
Number of employees engaging in the production of certified products:</td><td></td></tr>
<tr><td>檢查型態：
Inspection type:</td><td>☐初次
Initial
☐複查
Re-inspection</td><td colspan="2">☐後續 Follow-up
☐例行 Routine
☐特殊 Special:_____</td></tr>
<tr><td>與證書名義人關係：
Relation with the certificate holder:</td><td colspan="3">☐工廠隸屬於證書名義人
The factory belongs to the certificate holder.
☐工廠為證書名義人之代工廠
The factory is the OEM of the certificate holder.</td></tr>
<tr><td colspan="2">工廠是否具本局認可 ISO 9001 證書，且範圍包含工廠檢查範圍?
Does the factory have an ISO 9001 certificate recognized by BSMI of which the scope is covered in this factory inspection?</td><td colspan="2">☐是(Yes)
☐否(No)</td></tr>
<tr><td colspan="2">主要會檢人員：
The main person involved in the inspection:</td><td colspan="2">職務：
Position:</td></tr>
<tr><td colspan="2">電話：
Telephone:</td><td colspan="2">電子郵件：
E-mail:</td></tr>
<tr><td colspan="2">檢查人員：
Inspector:</td><td colspan="2">檢查日期：按一下這裡以輸入日期。
Inspection Date:</td></tr>
</table>

工廠檢查範圍：

Factory inspection scope:

項次 No.	商品名稱 Product Name	商品驗證證書號碼 Product certification certificate number	型式(號） Type	系列型式（號） Series of type	型式試驗報告編號 Type testing report no.	證書名義人 Certificate holder	識別碼 Identification no.	備註 Remarks

註：1.本頁工廠檢查範圍資料應自 FIM4340 匯出。2.第 1 頁至第 2 頁應於赴廠時確認資料正確性。

Note: 1.The factory inspection scope in this page shall be exported from FIM4340.

2. Pages 1 and 2 shall be confirmed by the inspector and the factory.

一、檢查項目及檢查結果
Inspection items and results

1.商品型式取樣說明：

Description of types sampled:

項次 No.	前次取樣年度 The year of the previous sampling	本次取樣[註] Samples taken this time (see note)		備註 Remarks
		C / I / N	未取樣原因 Reasons for not sampling	

註：

1. 取樣方式如下：
   (1) 檢核（C）：指對已驗證商品型式之相關紀錄、設備、零組件及原料等進行核對與確認。
   (2) 檢查（I）：指對已驗證商品型式進行實體抽樣，並執行零組件及原料比對、現場檢驗或攜回檢驗。
   (3) 未取樣（N）。
2. 未取樣可能原因（可複選）：
   A.前次檢查迄今未生產。
   B.未排入本次計畫中執行檢查。
   C.此為新商品，尚未申請 RPC/VPC/正字標記。
   D.其他（請敘明原因）。

Note:

1. Sampling methods are as following:
   (1) Check (C): to check and confirm relevant records, equipment, components, sub-assemblies or materials of the certified type.
   (2) Inspection (I): to take a sample of a certified product and check its components, sub-assemblies or materials, examine on site or bring back for examination.
   (3) No Sampling (N).
2. Reason(s) for no sampling (multiple choices can be checked):
   A: No production since the latest inspection.
   B: Not in this inspection plan.
   C: A new product that does not apply for RPC/VPC/CNS Mark.
   D: Other reasons (please specify).

2. 自上次工廠檢查後迄今，工廠基本資料是否異動？(若為初次工廠檢查，本項免填)
Has the factory's basic information changed since last factory inspection? (If this is the initial inspection, please skip this item)

基本資料 Basic information	確認 Confirmation	異動說明 Description of changes
2.1 生產廠場名稱是否異動？ Is there a change in the factory name?	☐ 是 Yes ☐ 否 No	
2.2 廠址是否異動？ Is there a change in the factory address?	☐ 是 Yes ☐ 否 No	
2.3 商品種類是否異動？ Is there a change in the kind of product?	☐ 是 Yes ☐ 否 No	
2.4 主型式是否異動？ Is there a change in the main type of product?	☐ 是 Yes ☐ 否 No	
2.5 主要零組件及原料是否異動？ Is there a change in main components, sub-assemblies and materials?	☐ 是 Yes ☐ 否 No	

3. 商品之製造設備
Production equipment

	是	否
3.1 所設置主要製造設備，是否符合商品產製需求？ Does the main production equipment meet the needs of production?	☐ Yes	☐ No
3.2 設備運作情形是否正常？ Is the equipment operating at normal level?	☐ Yes	☐ No
3.3 設備維護保養情形是否正常？ Is the equipment maintained normally?	☐ Yes	☐ No

4. 商品之主要零組件及原料
Main components, sub-assemblies and main materials of product

4.1 主要零組件及原料是否符合適用規範？
Are the main components, sub-assemblies and materials complying with relevant requirements?

4.1.1 是否建立採購規範、查驗/驗收方法或程序並執行？ ☐ 是 Yes ☐ 否 No
Are there purchase specifications, verification and acceptance methods or procedures to be followed consistently?

4.1.2 採購之主要零組件及原料若由供應商查驗時，其報告或證書是否有供應商所授權人員之簽名或蓋章？ ☐ 是 Yes ☐ 否 NO ☐ 不適用 N/A
If main components, sub-assemblies and materials purchased are verified by a supplier, is the report or certificate signed or stamped by an authorized person from the supplier?

*4.1.3 如規定須具有相應之驗證標誌時，該零組件及原料是否符合規定？ ☐ 是 Yes ☐ 否 NO ☐ 不適用 N/A
In case that certification mark(s) is/are required, do the components, sub-assemblies and materials comply with the specifications?

*4.1.4 主要零組件及原料是否與型式試驗報告內容相符？（本項為進料階段檢查，10.1.1 項為取樣後比對檢查） ☐ 是 Yes ☐ 否 No
Are the main components, sub-assemblies and materials consistent with those stated in the type test report?
(This is for incoming inspection, while 10.1.1 is for comparison with samples taken)

4.2 不合格主要零組件及原料之鑑別與隔離
Identification and separation of non-conforming main components, sub-assemblies and materials.

4.2.1 是否建立鑑別並隔離之方法或程序？ ☐ 是 Yes ☐ 否 No
Is there any method or procedure to identify and separate non-conforming main components, sub-assemblies and materials?

4.2.2 是否依所建立之方法或程序執行，並保有紀錄？ ☐ 是 Yes ☐ 否 NO ☐ 不適用 N/A
Are the established methods or procedures followed consistently and records kept?

5.商品之製造流程
Production procedure

5.1 製造流程是否符合商品產製需求？
Does the production procedure fulfill the requirement of production?

	是	否
5.1.1 是否保有商品製造流程所需之技術資料？ Is technical data in the procedure of production kept?	☐ Yes	☐ No
*5.1.2 是否規劃有確保商品符合檢驗標準之方式? Is there a plan to ensure conformity with the testing standards?	☐ Yes	☐ No
*5.1.3 製造流程中是否有建立適當之成品/半成品檢測程序？ Is there an appropriate test procedure for finished products / semi-finished products?	☐ Yes	☐ No
5.1.4 是否建立涵蓋上述項目之規範或程序並執行？ Are there specifications or procedures involved in the above matters and being followed consistently?	☐ Yes	☐ No

5.2 不合格之成品/半成品之鑑別與隔離
Identification and separation of non-conforming product/semi-finished products

	是	否	不適用
5.2.1 是否建立鑑別或隔離不合格成品/半成品之機制？ Is there an appropriate mechanism to identify and segregate non-conforming finished products / semi-finished products?	☐ Yes	☐ No	
5.2.2 是否依所建立之規範或程序執行，並保有紀錄？ Are the established specifications or procedures followed consistently and is record kept?	☐ Yes	☐ NO	☐ N/A

6.檢測設備及檢測人員
Test equipment and test personnel

6.1 檢測設備（若生產廠場未設置檢測設備，6.1.2~7.6 請勾選"不適用"，並闡述生產廠場確保商品符合檢驗標準之方式）
Test equipment (If the factory does not have test equipment, please check the "N/A" box in 6.1.2 ~ 7.6 and then specify how the factory ensures that products conform to the requirements of commodity inspection standards.)

6.1.1 是否設有符合商品產製需求或具備相同檢測功能之檢測設備？
Does the test equipment meet the requirements of production or is there other kind of equipment that have the same test function?
是 ☐ Yes 否 ☐ No

6.1.2 設備運作是否正常？
Is equipment working normally?
是 ☐ Yes 否 ☐ NO 不適用 ☐ N/A

6.1.3 若發現設備功能不正確時，是否採取隨後之矯正措施？
If the test equipment did not function correctly, were corrective actions taken?
是 ☐ Yes 否 ☐ NO 不適用 ☐ N/A

6.2 檢測人員
Test personnel

6.2.1 是否設有適當之檢測人員？
Is there qualified test personnel?
是 ☐ Yes 否 ☐ NO 不適用 ☐ N/A

6.2.2 是否有適當之訓練、評鑑或其他方式以確保檢測人員符合執行需求？（得輔以實作查核）
Is there any method to ensure that inspection personnel can perform testing appropriately, such as training, assessment or other means?
(On-site check may be conducted)
是 ☐ Yes 否 ☐ NO 不適用 ☐ N/A

7.檢測設備之校正及檢查
Calibration and verification of test equipment

7.1 檢測設備是否已建立校正週期及允收基準，並依規定時間校正或檢查，以確認符合產製商品之作業需求？
Are calibration cycle and acceptance criteria for test equipment established and followed to confirm that requirements for production are fulfilled?
☐是 Yes ☐否 NO ☐不適用 N/A

7.2 是否保留校正或檢查紀錄？
Are the calibration or verification records kept?
☐是 Yes ☐否 NO ☐不適用 N/A

7.3 校正或檢查紀錄是否指出校正可追溯至國家或國際的量測標準？
Do the calibration or verification records indicate that calibration is traceable to national standards or international standards of measurement?
☐是 Yes ☐否 NO ☐不適用 N/A

7.4 校正紀錄所顯示之校正數據，是否符合允收基準之要求？
Do the calibration data in the calibration report fulfill the requirements of acceptance criteria?
☐是 Yes ☐否 NO ☐不適用 N/A

7.5 檢測設備是否可識別其校正或檢查狀況？
Is it possible to identify status of calibration or verification of the test equipment?
☐是 Yes ☐否 NO ☐不適用 N/A

7.6 檢測設備校正如由外部廠商執行時，其報告或證書是否有供應商所授權人員之簽名或蓋章？
When calibration of test equipment is conducted by an external provider, is the report or certificate signed or stamped by personnel authorized by the provider?
☐是 Yes ☐否 NO ☐不適用 N/A

8.合格與不合格品之保存及後續處理

Handling and storage of conforming and non-conforming products

8.1 零組件及原料之保存是否合理？ 是 ☐Yes 否 ☐NO 不適用 ☐N/A

Are components, sub-assemblies and materials stored in a way that they can continue complying with the applicable standards?

8.2 成品/半成品的保存是否合理？ 是 ☐Yes 否 ☐NO 不適用 ☐N/A

Are finished products / semi-finished products stored in a way that they can continue complying with the applicable standards?

*8.3 成品是否正確使用商品檢驗標識與識別碼（RPC）、自願性產品驗證（VPC）標誌或正字標記（CNS Mark）標誌？ 是 ☐Yes 否 ☐NO 不適用 ☐N/A

Are the product safety marks with RPC identification numbers, VPC marks or CNS marks applied to finished products correctly?

8.4 不合格之成品/半成品/零組件及原料後續處理是否合理？ 是 ☐Yes 否 ☐NO 不適用 ☐N/A

Are non-compliant finished products / semi-finished products/ components, sub-assemblies and materials handled in a reasonable way?

9.消費者服務及顧客抱怨之處理

Customer service and handling of complaints

9.1 是否已建立涉及產製商品需求之消費者服務及顧客抱怨處理機制？

Is there a procedure for customer service required by the product produced and is there a mechanism for handling complaints?

☐是 Yes ☐否 No

9.2 消費者服務及顧客抱怨處理情況是否合理？且是否保存相關紀錄？

Are customers served and complaints dealt with properly? Are the records kept?

☐是 Yes ☐否 NO ☐不適用 N/A

9.3 顧客抱怨案件，是否採行矯正措施？且是否保存相關矯正措施執行紀錄？

Are corrective actions taken in response to customer complaints and are the records kept?

☐是 Yes ☐否 NO ☐不適用 N/A

9.4 是否查證涉及顧客抱怨案件之矯正措施執行成效？

Is there verification on the effectiveness of corrective actions for customer complaints?

☐是 Yes ☐否 NO ☐不適用 N/A

9.5 依據「商品驗證登錄辦法」第 8 條第 2 項或自願性產品驗證之相關產品檢驗規定，是否已建立下列項目之紀錄：（限驗證登錄商品檢查，正字標記及自願性產品驗證商品得不適用）

As per Paragraph 2, Article 8 of the Regulations Governing Registration of Product Certification, are there records on the production and selling regarding the following items (for RPC products only):

☐是 Yes ☐否 NO ☐不適用 N/A

- ☐ 1.商品產製日期 (Manufacturing date)
- ☐ 2.型式、規格 (Types and specifications)
- ☐ 3.數量 (Quantity)
- ☐ 4.出廠日期 (Ex-factory date)
- ☐ 5.銷售對象 (Customers)

10.型式試驗報告原型式之一致性產製情形與後續變更(若為初次工廠檢查/僅正字標記驗證商品，本項得免檢查)

Consistency of types or changes to type test reports (If this is the initial inspection or only CNS Mark products are subject to this inspection, this item is exempted)

10.1 現場取樣比對是否與型式試驗報告原型式一致？
Are the types of samples taken on-site consistent with those stated in the type test report?

*10.1.1 主要零組件是否與原型式試驗報告或技術文件相符？ 是 ☐Yes 否 ☐No
Are the main components, sub-assemblies and materials of products consistent with those stated in the type test report or technical documents?

*10.1.2 半成品之成分、結構或零組件配置是否與原型式試驗報告相符？ 是 ☐Yes 否 ☐No
Are the ingredients, structure or configuration of components and sub-assemblies in a semi-finished product consistent with those stated in the type test report?

*10.1.3 成品之成分、結構或零組件配置是否與原型式試驗報告相符？ 是 ☐Yes 否 ☐No
Are the ingredients, structure or configuration of components and sub-assemblies in a finished product consistent with those stated in the type test report?

10.2 是否對商品（成品）於現場執行取樣檢驗或攜回檢驗？ 是 ☐Yes 否 ☐No
Are finished products sampled for testing, either on-site or after they are brought back?

*10.2.1 前項現場取樣檢驗結果是否符合規定？ 是 ☐Yes 否 ☐NO 不適用 ☐N/A
Do the results of on-site sampling tests mentioned in Clause 10.2 conform to specifications?

10.3 自前次工廠檢查迄今，已驗證商品是否有變更？ 是（請續填 10.3.1） ☐ Yes, please fill 10.3.1 否（請跳過 10.3.1） ☐ No, please skip 10.3.1
Are there changes made to certified products since last factory inspection?

*10.3.1 前項變更是否已取得該驗證商品之驗證機關（構）同意？ 是 ☐ Yes 否 ☐ No
Are the changes mentioned in Clause 10.3 approved by the product certification body?

核准函文號：（必須填寫）
Number of Approval Letter (required)
型式試驗報告編號：
Number of Type test report

11.「工廠檢查作業要點」第 5 點附表第 9 款之特定規範
Specified regulations referred to in Subparagraph 9 of the Table under Clause 5 in the Directions Governing Factory Inspection

	是	否
11.1 適用商品種類是否訂有特定規範？（若否，以下免填） Are there specified regulations for the certified product category? (if not, please skip the following questions)	☐ Yes	☐ No
*11.2 是否符合特定規範？ Are the specified regulations being complied with?	☐ Yes	☐ No
11.3 特定規範是否要求取樣（攜回）檢驗？ Do the specified regulations require sampling test?	☐ Yes	☐ No
11.4 該商品是否適用工廠檢查紀錄附表「資安檢查項目表」？ Is the "Checklist for Information Security" applicable to the certified product?	☐ Yes	☐ No

12. 前次工廠檢查缺點矯正情形(若為初次工廠檢查，本項免檢查)
The status of corrective actions taken for unsatisfactory findings from last factory inspection (If this is the initial inspection, this item is exempted)

	是	否	不適用
12.1 前次工廠檢查是否發現缺點？（若是，請填寫 12.2） Are there unsatisfactory findings from last factory inspection? (If yes, please go to 12.2)	☐ Yes	☐ NO	
*12.2 缺點是否矯正完成？尚未矯正完成之缺點註記如下。 Are the unsatisfactory findings corrected completely? Please describe the unsatisfactory findings not corrected below.	☐ Yes	☐ NO	☐ N/A

二、綜合結果及建議

General Results and recommendations

本次工廠檢查作業結果：

Factory inspection results:

☐未發現缺點。

No unsatisfactory findings.

☐發現主要缺點：　　。

Major unsatisfactory findings:

☐發現次要缺點：　　，

Minor unsatisfactory findings:

應於 10 日內提具矯正計畫（含具體矯正措施及預定完成日期）。

Corrective plan shall be submitted within 10 days (including specified corrective measures and the expected date of completion).

☐本次檢查結果除上述發現外，另依取樣攜回（或當場封樣）測試給予評定。

In addition to the above findings, other findings will be given based on the tests performed on on-site sealed samples taken back.

建議：

Recommendations:

☐發給工廠檢查報告。

Issue factory inspection report

☐工廠提出矯正計畫並經審查核可後，發給工廠檢查報告。

Issue factory inspection report on condition that the corrective plan submitted by the factory is approved after review.

☐工廠提出矯正計畫並改正完成，經查核確認改善後，發給工廠檢查報告。

Issue factory inspection report on condition that the unsatisfactory findings have been corrected in accordance with the corrective plan submitted by the factory and subsequently verified.

☐不發給工廠檢查報告。

Not to issue factory inspection report.

☐應於 60 日/30 日內申請複查。

An application for re-inspection within 60 days / 30 days shall be made.

註：1.檢查結果，仍以最終核定為準。

2.貴廠對缺點判定、檢查人員表現、評定建議等若有意見，請逕向該工廠檢查機關（構）提出，該單位將儘速處理。

3.工廠檢查人員確認標註「*」項次如發現結果不符合要求時，應依工廠檢查作業要點第 8 點規定開立主要缺點。然而，主要缺點之開立不限於「*」檢查項次。

Note: 1. The inspection results shall be subject to final approval.
2. Any comments on the decision of unsatisfactory findings, performance of the inspector or the recommendations can be made directly to the factory inspection body, which will be processed as soon as possible.
3. Where non-compliances are found in items marked with "*," the inspector shall identify these items as major unsatisfactory findings in accordance with Clause 8 of the Directions Governing Factory Inspection. Nevertheless, major unsatisfactory findings are not limited to items marked with "*."

工廠代表職稱/簽名：　　檢查人員簽名：
Title of Factory Representative/Signature:　　Signature of Inspector:

檢查人員其他意見：
Other comments from the inspector:

初審意見： Comments by Preliminary Reviewer	初審人員簽名： Signature of Preliminary Reviewer 日期：按一下這裡以輸入日期。 Date:
複審意見： Comments by Reviewer	複審人員簽名： Signature of Reviewer 日期：按一下這裡以輸入日期。 Date:
核定： Approval	核定人員簽名： Signature of Approver 日期：按一下這裡以輸入日期。 Date: