


	<b>CHINA CERTIFICATION &amp; INSPECTION (GROUP) SHENZHEN Co., LTD.</b>			
	<b>FACTORY AUDIT REPORT</b>	Report No.:	CPS013AN0004	Overall Score
		Report Date:	02 July, 2013	<b>7.78/10</b>
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GENERAL INFORMATION			
Client	Anonymous Client	ATTN	Mr. XX
Supplier/Vendor	Anonymous Supplier		
Factory Name	Anonymous Factory		
Type of Evaluation	Factory Audit		
Audit Location	XX District, Shenzhen City, Guangdong Province, China		
Audit date	01 July, 2013		
Auditor Name	Jeffery Wu		

A. RESULT SUMMARY (Details can be referred to corresponding sections in this report)						
No.	Fields	Amount Score	Theoretical maximum	Score / 5	Weight / 5	Weight Score
D.	Workflow and Organization charts	18	/20	4.5	5	22.5
E.	Production area Condition	18	/30	3	5	15
F.	Factory facilities - machinery conditions	30	/45	3.333	5	16.665
G.	Quality Assurance System	31	/40	3.875	5	19.375
H.	Sales & Marketing Capability	17	/20	4.25	5	21.25
I.	Research & Development capacity	17	/20	4.25	5	21.25
J.	Trustworthiness & Reputation	15	/15	5	5	25
K.	Customer Service Capability	16	/20	4	5	20
L.	Social accountability	17	/20	4.25	5	21.25
M.	Hygiene - Security	24	/30	4	5	20
N.	Special Requirement from Customer	/	/	/	/	/
<b>Total</b>					260	202.29

<b>Overall Score</b>	<b>7.78/10</b>
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<b>Report Approval by</b>	 <hr/> Peter Zhao - Inspection Manager of CCIC
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**B. REMARKS & COMMENTS:**

- 1. Some workers in extrusion workshop did not wear earplug to isolate from the noise which could cause hearing problem.**



**Workers did not wear earplug**

- 2. Some measuring equipments were out of the calibration date, but still used on site.**



**Thickness gauge**



**Expire date on thickness gauge**

**3. During plant tour, found aisles did not line the arrow marking of evacuation route on the floor.**



**Workshop aisles details**




**Workshop aisles details**

**4. The supplier named "Hua Ye" which provide printing ink to the audited factor have passed the supplier's audit, but it cannot be found in qualified suppliers list.**



**Qualified suppliers list & supplier audit report**

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**5. The plastic raw material was placed on playground instead of in warehouse and some protective bags were broken and it was raining when we audit.**




**Plastic raw material was placed on playground**



**Some protective bags were broken and it was raining**


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<b>C. Factory General Profile</b>			
<b>No.</b>	<b>Description</b>	<b>Information/Finding</b>	
C1.	<b>Name of Manufacturer</b>	Anonymous Manufacturer	
	<b>Factory Address</b>	xx Road, xx Industrial Area, xx District, Shenzhen City, Guangdong Province, China	
	<b>Factory Representative</b>	Mr. XX	
	<b>Date of Foundation</b>	22 February, 2006	
	<b>Factory telephone / fax number</b>	00860755-xxx / 00860755-xxx	
	<b>Factory contacts/email</b>	xx@gmail.com	
C2.	<b>Legal Status</b>	Limited liability company	
C3.	<b>Area</b>	Office	A 4-storey building
		Production/Warehouse	A 5-storey building
		Accommodation	A 5-storey building
		Total	20,000 m <sup>2</sup>
C4.	<b>Number of employees</b>	Sales & Marketing	5 persons were in factory and others in Hong Kong office
		Design/R&D:	2 persons
		Manufacturing/workers	210 persons
		QA/QC:	10 persons
		Admin	26 persons
Total	253 persons		
C5.	<b>Main products</b>	Soft Loop Handle Bag, String Handle Bag, Bag-on-roll, Die-cut Bag, Sign Holder, Display Clip, Data Strip, Hang Tab, Pegboard Hook.	
C6.	<b>Main market</b>	Europe, America	
C7.	<b>Business license</b>	Certificate No.:	Confidential
		Issued date:	22 February, 2006
		Expiration Date:	Long-term
		Business Scope:	manufacture and sales of plastic bags and plastic products.
		Registered Capital:	HKD 20,000,000
		Annual review:	2012
C8.	<b>Cooperated Key Buyer</b>	Confidential	
C9.	<b>Annual turnover</b>	The information was kept confidential	
C10.	<b>Sold Method:</b>	Sold through export agencies to overseas market	
C11.	<b>Banking relationship:</b>	Banking relations are maintained	Industrial and Commercial Bank

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		principally with	of China
		A/C No.:	Confidential (for RMB)
		Taxes No.:	Confidential
C12.	<b>Payment:</b>	Export Payment Terms:	T/T;L/C
		Export Price Terms:	FOB Shenzhen
		Purchasing Payment Terms:	30 days credit for domestic purchase or cash purchase
C13.	<b>Working Hour:</b>	The daily working-hour starts from <u>8:30</u> to <u>18:00</u> ; from Monday to Friday. Lunch-hour starts from <u>12:00</u> to <u>14:00</u> ; Overtime starts from <u>19:00</u> to <u>22:00</u> .	
C.14	<b>How far are the nearest port / airport?</b>	Shenzhen Airport: About 0.5 hour (by road). Shenzhen Yantian Seaport: about 2 hours (by road).	

<b>Building</b>	
	
Factory gate	Company name
	
Office Building	Reception

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Business license and Certificate	
	
Business license	Tax Registration Certificate
	
Certificate of approval	Printing business certificate

D. Factory Organization chart and Production process			
Questions	Findings / Comments	Score	
Does the factory have a clear Organization Chart?	The departments as well as their responsibilities are clearly defined	5	/5
Is it available to all employees? Are all employees aware of each others' responsibilities?	The organization chart is available to all employees. Most workers are not aware of the responsibilities of their direct managers, supervisors or department director.	4	/5
<b>D1. Factory Organization chart:</b>			



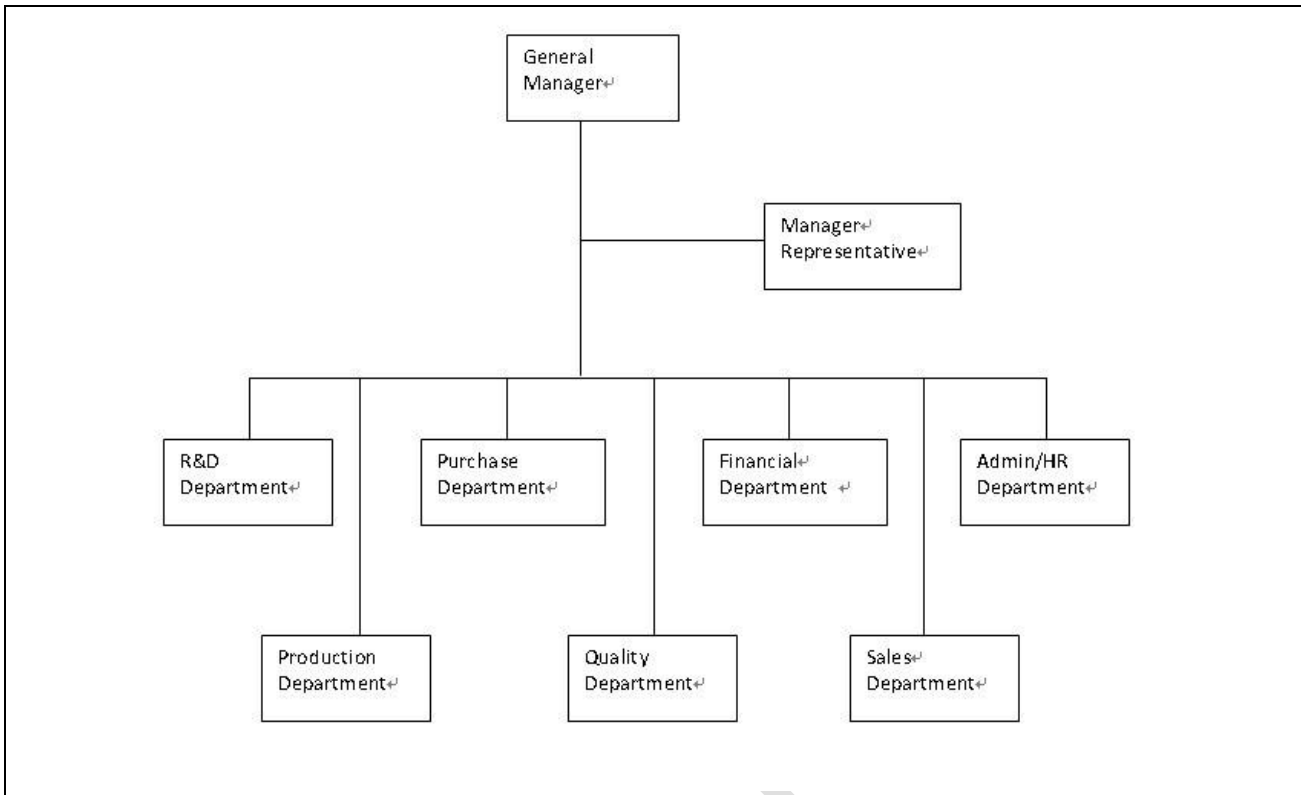
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D2. Production Workflow Chart:			
Questions	Findings / Comments	Score	
Does the factory have a written Production Process?	The production process is clear, with each production step identified.	4	/5
Is the Production Process followed?	The Production Process is followed rigidly.	5	/5
Raw material preparation → Extrusion → Semi-product inspection → Printing → Cutting → Handcraft → Final inspection → Packing → Out-going sampling inspection → Warehouse → shipping out			

Actual Score	Theoretical Max
18	/20





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E. Production area Condition

Questions	Findings/Comments	Score	
Is the assembly line tidy and organized?	The productions lines and warehouse are clean and tidy. The 3 workstations are clean, and the intermediate products are well stored.	4	5
Is the production area well lighted?	The production area and the workstations are well lit.	3	5
Is the production area suitable; ventilated; cooled & heated?	The production area is ventilated, and the working conditions are acceptable.	4	5
Are production lines laid out in an efficient manner?	The production line is highly efficient, with no bottlenecks and not many intermediate products lying around.	4	5
Does the production area have floor markings?	During plant tour, found aisles did not line the arrow marking of evacuation route on the floor.	0	5
Are corridors free from obstruction?	All the corridors are large and free.	3	5

Picture



Printing workshop

Printing workshop



Cutting workshop

Cutting workshop

Actual Score	Theoretical Max
18	/30



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**F.1 Factory facilities - machinery conditions**

No.	Types of Machinery			count	Condition / Service time	Total Step Capacity	Score	
	Name	Brand	Country					
F1.	Extruder	confidential	China	8	Average; more than 3 years	3 ton per machine every 10 hours	3	/5
F2.	Printing machine	confidential	China	8	Average; more than 2 years	200,000 pieces per machine every 10 hours	3	/5
F3.	Cutting machine	confidential	China	25	Average; more than 2 years	30,000 pieces per machine every 10 hours	3	/5
F4.	Hot pressing machine	confidential	China	16	Average; more than 3 years	5,000 pieces per machine every 10 hours	3	/5
F5.	Sealing machine	confidential	China	4	Average; more than 2 years	200 cartons every 10 hours	3	/5
<b>Score (overall)</b>							<b>3</b>	<b>/5</b>

**F.2 Machine Documentation**

Questions	Findings/Comments	Score	
Does the factory have an equipment and machinery list?	Complete and updated equipment/machinery lists are available.	4	/5
Does the factory have an adequate instruction for the equipment?	Several machines have instruction and procedure manuals available for workers.	4	/5
Is the production equipment clearly marked with its status, maintenance means, service lifespan, and circle of competence?	The machine maintenance record was available on site; routine checking point and frequency were clearly recorded.	4	/5
Is the testing equipment calibrated in time?	Some measuring	1	/5



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equipments were out of the calibration date, but still used on site.

Picture

生产设备台帐

文件编号: 4.2.3-QP-18

序号	本公司编号	设备名称	型号	出厂编号	制造厂	备注
1	S01	塑料挤出机		99243	瑞安飞跃塑料挤出机械厂	彩灯车间
2	S02	塑料挤出机		99244	瑞安飞跃塑料挤出机械厂	彩灯车间
3	S03	塑料挤出机		000284	瑞安飞跃塑料挤出机械厂	彩灯车间
4	S04	塑料挤出机		000285	瑞安飞跃塑料挤出机械厂	彩灯车间
5	S05	RF-45全自动裁线剥皮机		031164	浙江临海李新海机械厂	彩灯车间
6	S06	全自动双头压模机		030325	路桥扣帽线制造厂	彩灯车间
7	S07	全自动双头压模机		50023159	路桥扣帽线制造厂	彩灯车间
8	S08	塑料粉碎机		00892832	余姚华泰塑料机械厂	彩灯车间
9	S09	BM-120型电焊机		99026	上海市浦南电焊机厂	彩灯车间
10	S10	ZS12-2台式钻床		1040878	杭州西湖台钻总厂	彩灯车间
11	S11	MC305型落地式砂轮机		098	浙江砂轮厂	彩灯车间
12	S12	冲床		950136	宁波北仑精密机床厂	彩灯车间
13	S13	900C型塑料注射成型机		9907956	宁波北仑塑料机械厂	彩灯车间
14	S14	SC101数风电热恒温干燥箱		2127	嘉兴市电热仪器厂	彩灯车间

2008年度设备维修保养计划

设备名称	维修保养项目和要点	维修保养周期	实施人
挤出机	每次使用后对设备进行清洁保养	每次使用后	使用者
	每季度进行油路水管的确认检修	1次/季度	机修工
	每年12月进行电气线路的检修, 清洁电机, 检查炭刷是否损坏	每年12月	机修工
注塑机	每次使用后对设备进行清洁保养	每次使用后	使用者
	每季度进行油路和冷却水管路的确认检修	1次/季度	机修工
	每年12月进行电气线路的检修, 清洁电机, 检查炭刷是否损坏	每年12月	机修工
扣线机、拉线机	每次使用后对设备进行清洁保养	每次使用后	使用者
	每季度进行油路的确认检修	1次/季度	机修工
	每年12月进行电气线路的检修, 清洁电机, 检查炭刷是否损坏	每年12月	机修工
模具	每次使用后检查模具, 确认完好后喷防锈油	每次使用后	使用者
	每月末对模具进行检查, 是否有缺损划伤, 标志是否完好, 上锈现象, 由机修工进行维护和维修工作	每月25-30日	机修工
搅拌机	每次使用后对设备进行清洁保养	每次使用后	使用者
	每年12月进行电气线路的检修	每年12月	机修工

Manufacturing equipment standing book

Equipment maintenance plan

设备维护保养记录

文件编号: 4.2.3-QP-20

设备名称	规格	保养日期
S05		2011-01-18

维护保养项目及内容记录:

问题:

- 剥皮用刀片不锋利, 剥皮机不能正常工作
- 机体内有摩擦现象

修理内容:

- 将刀片磨锋利, 在压机上加油, 清除异物

保养人/日期: 林浩洋  
2011-01-18

验收记录:

以上生产设备检修后运行情况一切正常。

使用部门负责人/日期: 程磊武  
2011-01-18

备注:

耐压机点检记录表

12年3月

日期	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31
08:00-09:00	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK
09:00-10:00	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK
10:00-11:00	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK
11:00-12:00	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK
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15:00-17:00	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK

设备故障处理:

附加说明: 请用正楷或行书填写, 并写清楚处理序号。  
1. 正常打"√" 2. 不正常打"×" 3. 未使用打"/"  
设备管理对策: A. 点检人自行修理 B. 送生技课修理 C. 送厂外修理

点检人: 杨秀丽

Equipment maintenance record

Equipment regular test record

F.3 Warehouse/Storage Conditions

Questions	Findings/Comments	Score	
Are the storerooms / warehouse clean/dry/orderly/indoor/secured?	The plastic raw material was placed on playground instead of in warehouse and some protective bags were broken and it was raining when we audit.	1	/5
Stored with clear identical markings?	Per finished warehouse tour, it was noted all finished products were clearly labeled. For special products, physical and chemical	4	/5



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	safety warning were posted at visible area.		
Does the factory set up the warehouse management for finished goods?	The factory set up the warehouse management regulation for finished goods.	4	/5
<b>Estimated Warehouse Capacity:</b>	<b>1,000 sqm</b>		
<b>Show Room Condition</b>			
<b>Questions</b>	<b>Findings/Comments</b>	<b>Score</b>	
Does the factory have a tidy show room?	There is a tidy sample room within the factory area.	5	/5

**Picture**



Incoming material warehouse



Finished product warehouse




Show Room



Product view

<b>Actual Score</b>	<b>Theoretical Max</b>
<b>30</b>	<b>/45</b>

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<b>G. Quality Assurance System &amp; Related Certificates</b>			
<b>Questions</b>	<b>Findings/Comments</b>	<b>Score</b>	
Is the factory certified with ISO9001 or other equivalent Quality Management System?	The factory has been certified with ISO9001 Certificate No.: xx Certificate body: xx Issued date: xx	5	/5
Is the Internal Audit of QMS [Quality Management System] proceeded according to documented procedure and plan?	The factory proceeded the internal audit of QMS in the past time according to written procedure and plan. Latest internal audit date: 16 March, 2012 Document number: GH-2-23-03-A Management review record: 20 March, 2012	4	/5
Does the factory maintain a record of the Internal and External Corrective Action?	The factory provided the internal and external follow-up corrective action records regarding latest non-conformity record put forward internally and externally.	4	/5
Does the factory conduct the assessment when changing or cooperating with a new supplier/sub-contractor?	<b>The factory conducted the assessment when changing new supplier/sub-contractor but the supplier named "Hua Ye" which provide printing ink to the audited factor have passed the supplier's audit, but it cannot be found in qualified suppliers list.</b>	2	/5
Does the factory set up any inspection standards for raw material?	The factory provided the inspection standard for raw material.	4	/5
Is the management and usage of production materials as well as the production process executed by the staff who is appropriately trained and qualified or by the senior staff?	The factory provided the training records on the management and usage of production materials as well as the production process.	4	/5
Has the factory set up necessary quality inspection standards in the process of production?	The factory provided quality inspection standards in the process of production when checking IPQC online record.	4	/5
Does the factory conduct necessary inspection standards to ensure the quality parameter?	The factory conducted the final quality control.	4	/5
<b>Picture</b>			



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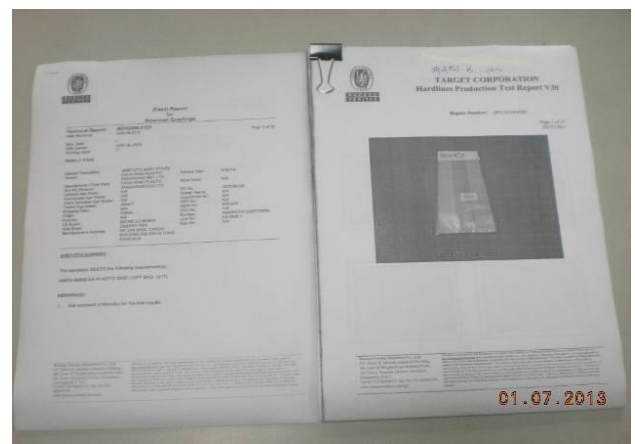
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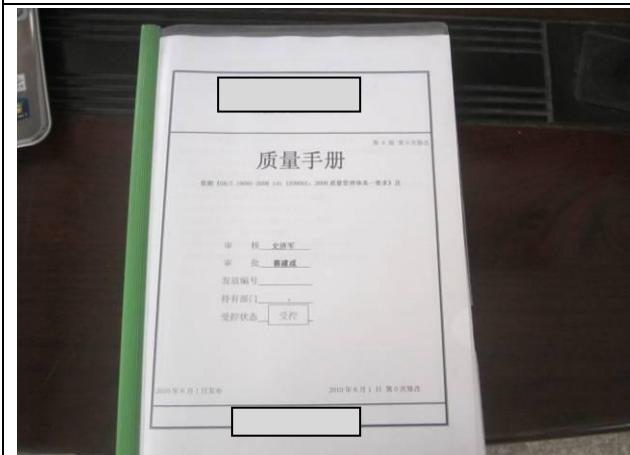
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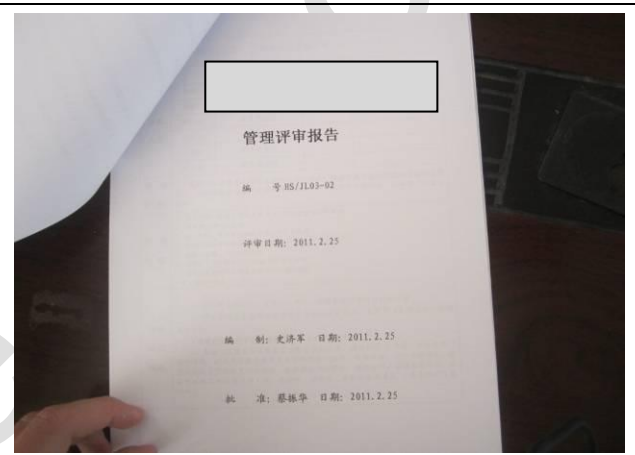
Quality Management System Certificate



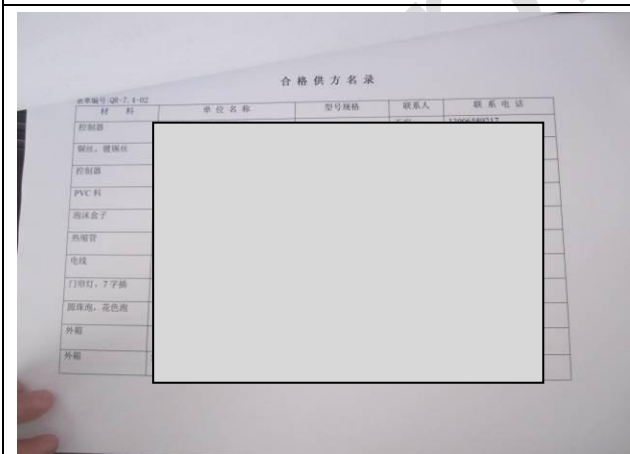
Test report



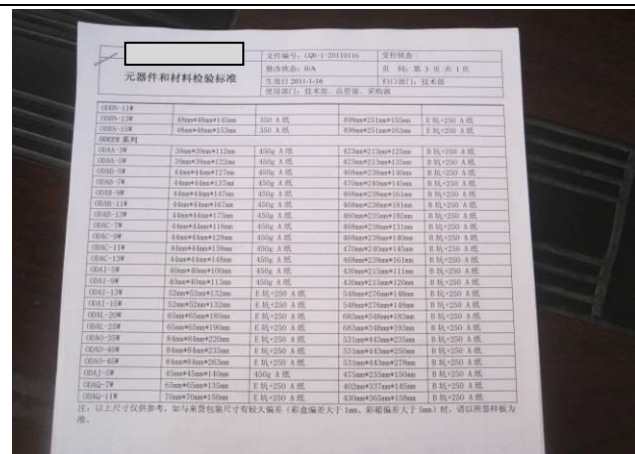
Quality manual



Management review report



Qualified supplier list



Raw material inspection standard



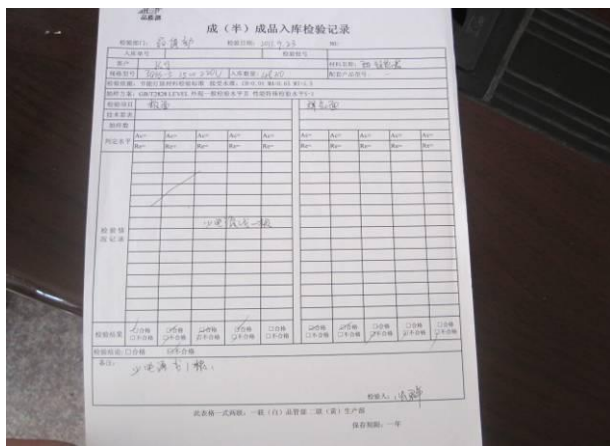
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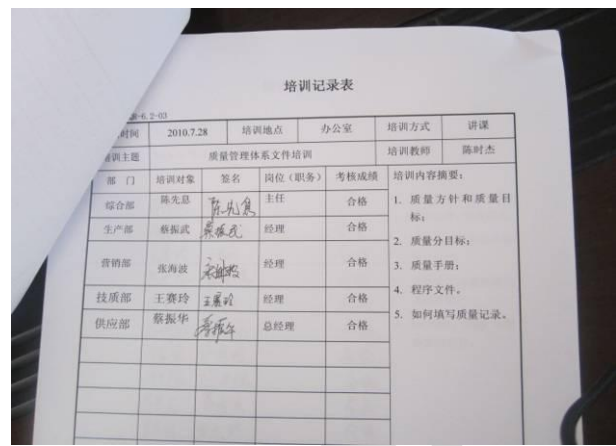
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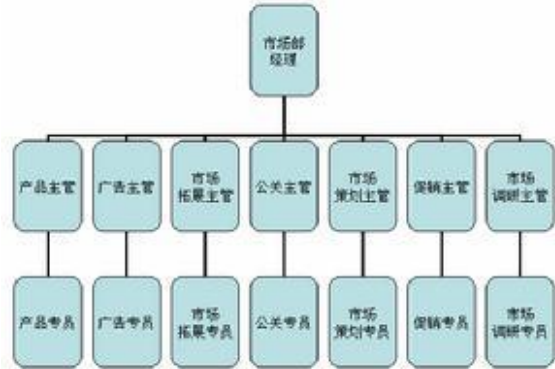
38.Final random inspection report



30.Training record

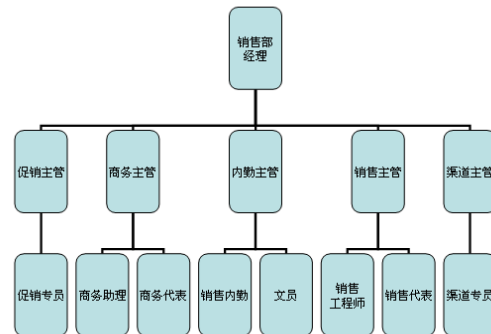
Actual Score	Theoretical Max
31	/40

H. Sales & Marketing Capability			
Questions	Findings/Comments	Score	
Does the factory have a sales & marketing team? Does the factory set up its sales network?	The name list of sales & marketing team was provided.	5	/5
Does the sales & marketing department have an appropriate organizational structure and a clear marketing management system to divide the rights, responsibilities and benefits?	The sales and marketing department provided the appropriate organizational structure and a clear marketing management regulation to allocate duty and rights.	4	/5
Does the factory have a system of recruitment, appointment, training, assessment, reward and punishment for the sales & marketing team?	The factory management provided a regulation of recruitment, appointment, training, assessment, reward and punishment for the sales & marketing team.	4	/5
Does the trading staff clearly know the responsibilities and trading jobs?	The trading interviewee clearly knows the responsibilities and trading jobs.	4	/5
<b>Picture</b>			



Marketing Department

Organization chart of Marketing Department




Sales Department

Organization chart of Sales Department


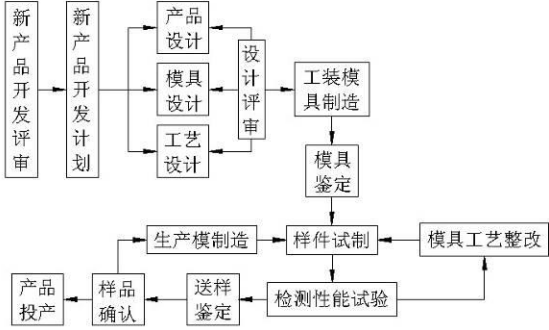
Actual Score	Theoretical Max
17	/20

I. Research & Development capacity			
Questions	Findings/Comments	Score	
Is there a special and adequate team for Research & Design?	The name list of 66 R&D staff with education and 1 to 20 years' experience and job duties was copied.	5	/5
Is the failure analysis and the obviate method available?	R&D department will be responsible for failure analysis.	4	/5
Is there an effective design system/flow?	Design system was available, and it was noted that workflow was being carried out as regulated.	4	/5
Is there an effective and proper SOP	WI was available in each workshop. Per	4	/5



	<b>CHINA CERTIFICATION &amp; INSPECTION (GROUP) SHENZHEN Co., LTD.</b>			
	<b>FACTORY AUDIT REPORT</b>	Report No.:	CPS013AN0004	Overall Score
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(or WI) for each process station?	observation, employee could basically follow the SOP instruction.		
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<b>Picture</b>	
	<p style="text-align: center;">新产品开发工艺流程图</p> 
Research & Development	Flow chart of development new product

<b>Actual Score</b>	<b>Theoretical Max</b>
<b>17</b>	<b>/20</b>

<b>J. Trustworthiness &amp; Reputation</b>			
Questions	Findings/Comments	Score	
Is the factory of good credit standing, lawful operations? Are there any illegal operation found?	No any illegal operation was found.	5	/5
Does the factory have any fraud in business behavior or damage in bank credit in the past?	The factory was not involved any fraud in business behavior or damage in bank credit in the past.	5	/5
Has the factory run into any dispute of intellectual property, etc?	The factory was not involved in any dispute of intellectual property, etc.	5	/5
<b>Picture: N/A</b>			

<b>Actual Score</b>	<b>Theoretical Max</b>
<b>15</b>	<b>/15</b>

<b>K. Customer Service Capability</b>			
Questions	Findings/Comments	Score	
Is there any appointed team or staff mainly responsible for the after-sales service within the factory?	After-sale team had been built up.	5	/5

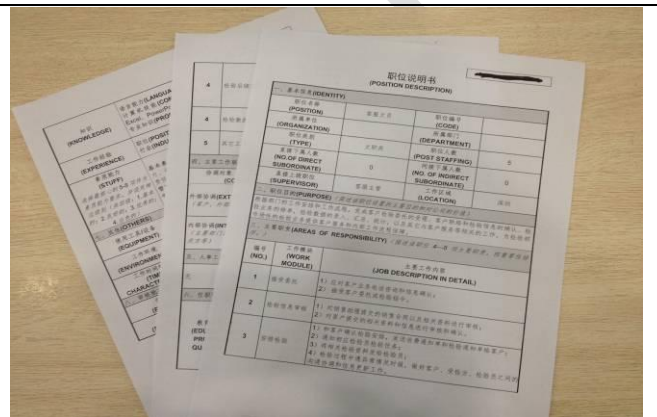


Does the factory have SOP (standard operation procedure) for after-sales service?	After-sales service management regulation was available.	4	/5
Has the factory set up any procedure for handling customer complaints or feedback?	Procedure for handling customer complaints was available.	4	/5
Does the factory have any commitment on the customer services of their products?	Service commitment to customer will be definitely promised since initial communication.	4	/5

**Picture**



Customer Service Department



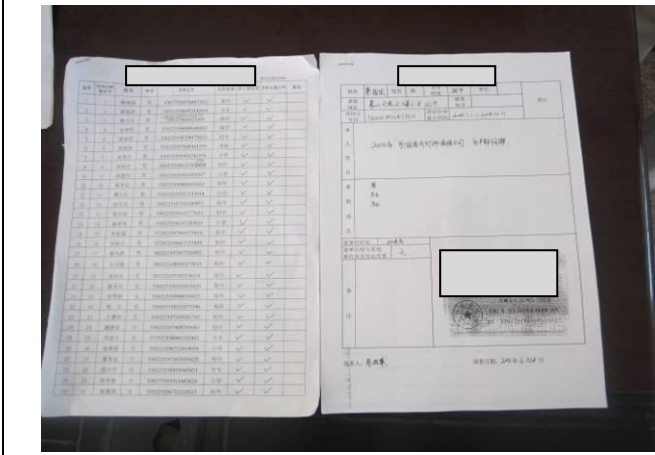
Job Responsibility Instruction

Actual Score	Theoretical Max
16	/20

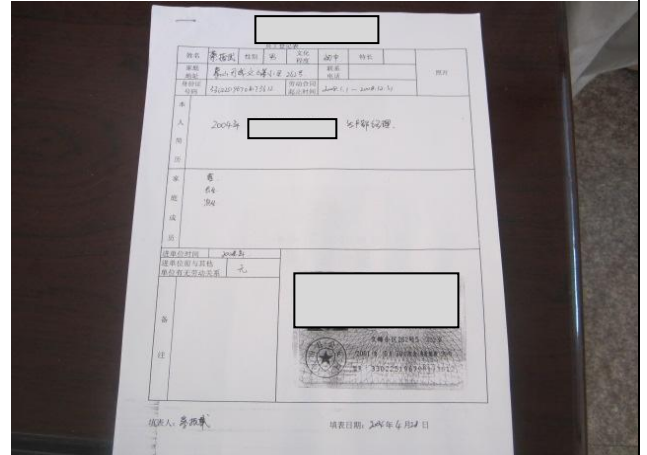
L. Social accountability			
Questions	Findings/Comments	Score	
Is it confirmed that there's no child labor in the factory?	Child labor was not found during document review and plant tour.	5	/5
Does the factory have a clear job management program, and take effective measures to verify the age of the employees?	Employment recruitment policy was issued, indicating any one below legal minimum age was not allowed to be employed.	4	/5
Do the staffs clearly know the terms of labor contract, regulations of the factory and the right of free employment?	According to the interview with employee, she/he had already signed the labor contract, but most of them was not well noted all clauses.	3	/5
Have the staffs been forced to work overtime? Will they be fined or fired if they refuse to?	According to employee interview, worker was not forced to overtime after work and no punishment if overtime was rejected.	5	/5



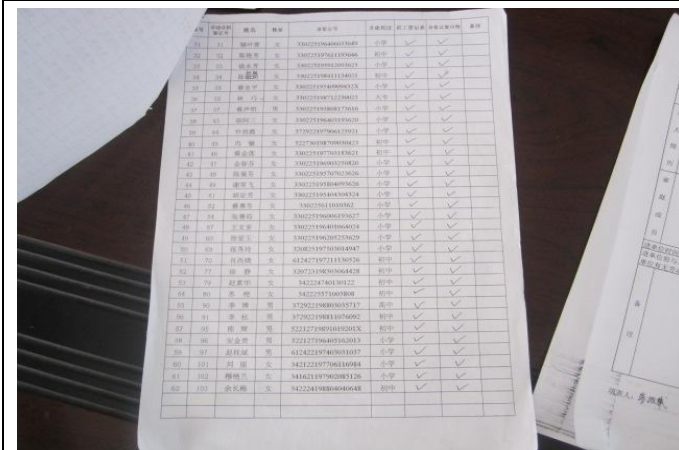
**Picture**



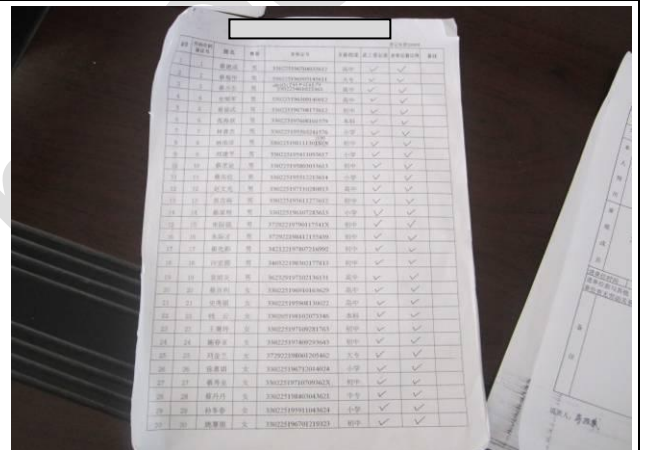
Membership roster



Roster with ID copy



No child labor as per register



No child labor as per register

Actual Score	Theoretical Max
17	/20

M. Hygiene - Security			
Questions	Findings/Comments	Score	
Does the factory conduct regular inspection of the plant and equipment, to ensure the health and safety of the workshop at least in accord with the law?	The factory provided the safety procedure/regulation. Safety officer will be responsible for safety issue in the factory and training provision.	4	/5
Does the factory regularly provide necessary safety and health training, to make the staff understand that there might be occupational hazards in their	<b>Necessary safety and health training was provided to employees regularly to make sure potential occupational hazards could be realized in their daily work. But Some workers in</b>	2	/5



**FACTORY AUDIT REPORT**

Report No.: CPS013AN0004

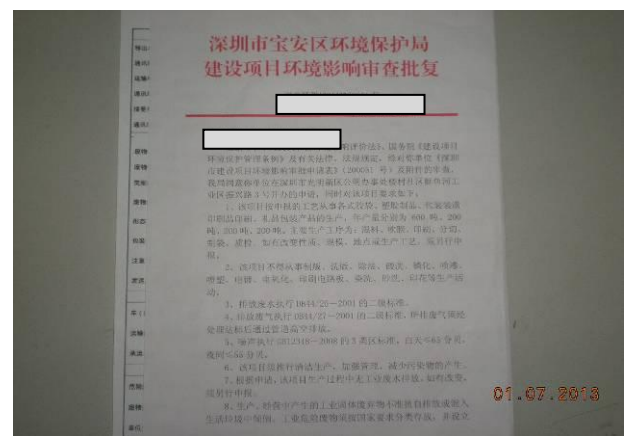
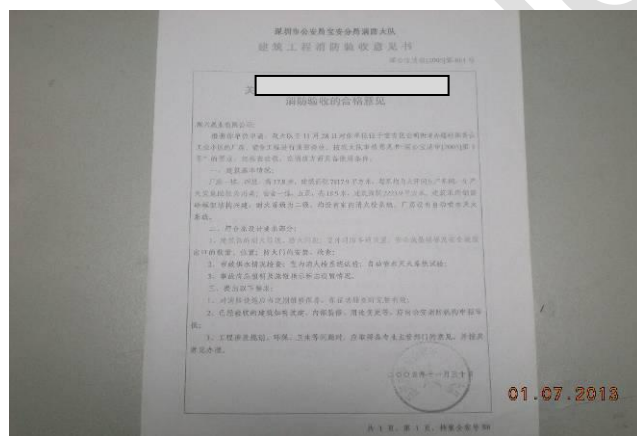
Overall Score

Report Date: 02 July, 2013

7.78/10

work, and take appropriate protective measures when necessary? (For example, how to use personal protective equipment safely, etc.)	extrusion workshop did not wear earplug to isolate from the noise which could cause hearing problem.		
Does the factory hold regular fire drill, including fire drill and evacuation drill? Do the staff know how to give an alarm, how to evacuate and how to use the fire extinguisher?	There were two fire drills and evaluations organized in the past twelve months. Photo and register form were available.	4	/5
Does the factory provide adequate first aid equipment? Is first-aid kit and trained first-aider available in each workplace?	Per plant tour, it was noted that first-aid kit was available in the workshop and office. Meanwhile, trained first-aider was arranged in each shift.	4	/5
Does the factory provide clean lavatory, separating men's and lady's?	The factory provided clean lavatory, and toilets for men and woman were separated.	5	/5
Does the factory have the approval report issued by local Fire Bureau and the Environment and Protection Bureau?	The factory provided the fire inspection report issued on 12 May, 2005 with report number [2005]A084 and the environment assessment report was approved by Shenzhen City Environment and Protection Bureau on 19 November, 2007.	5	/5

**Picture**



Fire safety report

Environmental protection approve report



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Safety training qualified certificate



First-aid box in workshop



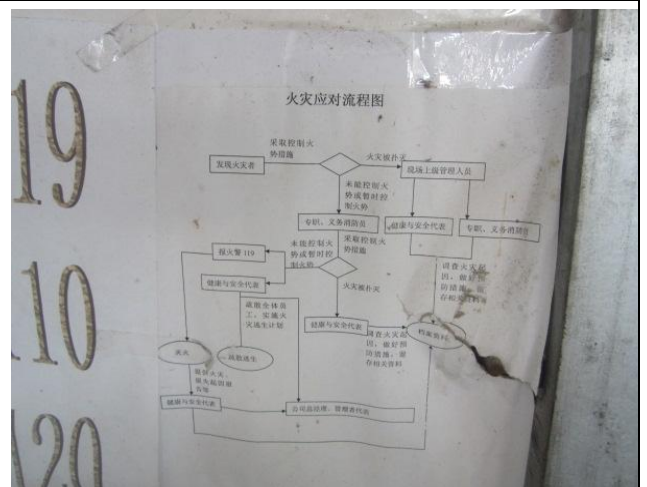
Exit and fire alarm



Fire alarm



Fire extinguisher



Evacuation plot plans



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Instruction for use fire extinguisher



Fire extinguisher on warehouse



Lavatory



Lavatory

Actual Score	Theoretical Max
24	/30

N. Special Requirement from Customer		
Questions	Findings/Comments	Score
N/A	/	/