FACTORY CAPACITY & CAPABILITY ASSESSMENT REPORT

Rev 1.0 Nov 01, 2019

I. Audit Information

Date of Audit	2-May-2025	**SGS Job No.**	SD250799R
Type of Audit	☐ Initial Audit ☐ Follow up Audit ☐ Annual Audit ☑ Desktop Review		
Name of Client	Walmart; Five Below; Burlington; Tjmaxx; Ross; T.J.Maxx; Marshalls; Homesense; HomeGoods		
Name of Vendor	HAW CHIAN FA PLASTIC CO., LTD		

II. Audited Factory Information

A. Basic Information

Factory Name	HAW CHIAN FA PLASTIC CO., LTD				
Address	No. 155, Gancheng Road, Banqiao District, New Taipei City 24252, Taiwan				
Contact Person	Mr. KL Chang	Title	Quality System Manager		
Tel.	886-2-29551528	Fax	886-2-29551529	Email	qc@hcf-tp.com.tw
Date of Foundation	1969/10/1	Type of Business Entity	Private		
Business License No.	33285506	Valid until	Permanent		
Name of Corporate Representative	Ms. Xiu-Zi Yang/ President of the board				

B. Factory Operations

Products Manufactured	Plastic products; Stationery products; Drawing products; Metal mold repairment
Products Capable to Manufacture: Plastic products; Stationery products; Drawing products; Metal mold repairment	
Factory Layout (sq. meters)	

Material Stores	238	Administration Area	365
Manufacturing Area	1104	Dormitory, Kitchen and Canteen	0
FG Stores	241	**Total**	**1949**

Production Process Flow Diagram	1. Mixing, Drying, Injection, Triming, Transfer or hot printing, Packing (Testing, Assembling, Packing); 2. CNC, Drill or Milling repairment.
Major Customers	Walmart; Five Below; Burlington; Tjmaxx; Ross; T.J.Maxx; Marshalls; Homesense; HomeGoods
USA Customers:	Walmart; Five Below; Burlington; Tjmaxx; Ross; T.J.Maxx; Marshalls; Homesense; HomeGoods

Subcontractor Factory Name(s) if any

Process	Sub-Contractor Name	Address	Contact Person
N/A	N/A	N/A	N/A

C. Manpower Details

	Sub-total
Supervisors/Managers	11
Administration Staff	3
Quality Control Staff	2
Engineering Staff	0
Permanent Workers	38
Temporary/Contract Workers	0
Total	**54**

D. Factory Management (Enclose a copy of the factory organization chart)

Position	Name
Factory Manager	Chong-Yu
Production Manager	Jia-Lin Lai
Quality Manager	KL Chang
Export Manager	Cai-Rong
Shipping Manager	Yue-Yuan
Management Representative	Ya-Xuan
EHS Manager	Zheng-Feng

E. Management System Implemented (Enclose copy of past and/or current available certificates/reports)

Type of System/ protocol	Validity of Certificate	Issue Date	Issued by
ISO 9001 : 2015	FM 40490	2022,12,07	BSI

III. Auditor Team

Auditor Name	Auditing Company	Role in the Team
Henry Hong	SGS Taiwan	Lead Auditor
Wade Lin	SGS Taiwan	Auditor

IV. Auditee Representatives

Name	Position / Department
Mr. KL Chang	Quality System Manager

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Number of Machines at Factory

ITEM	Machine Function	BRAND	MODEL	CAPACITY (1)	MANUF. YEAR	STATUS	NUMBER OF MACHINES
1	Injection	Fu-Qiang-Xin	Nil	72000	2020	Well	22
2	Mixing	Heng-Yang	Nil	Nil	2020	Well	3
3	Drying	Xin-Yi	Nil	Nil	2020	Well	2
4	CNC	Li-Xin	Nil	Nil	2020	Well	1
5	Drill	Kent	Nil	Nil	2020	Well	1
6	Milling	Jin-Yu	Nil	Nil	2020	Well	3
7							
8							
9							
10							

Hardware, Software and Specialized Equipment

Is there any specialized information equipment and software to perform the ACTIVITIES appropriately?	Yes	No
	X	

Comments

ERP system

Details of Major Processing Activities (e.g. cutting, sewing, printing, assembly)

ITEM	Process Type	Number of Lines	Number of Employees on Line (approx.)	Maximum Hourly Unit Production (approx.)
1	Injection	22	7	100
2	Mixing	3	1	No information
3	Drying	2	1	No information
4	CNC	1	1	No information
5	Drill	1	1	No information
6	Milling	3	1	No information
7				
8				
9				
10				

Average Output in Previous 12 Months

ITEM	Product 1	Product 2	Product 3	Product 4	Product 5	Product 6
1. Units per Month	72,000					
2. Containers per Month (20' or 40')	5					
3. Annual Volume (USD)	2,040,000					

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Critical Findings

The element addressed by the question (highlighted) is not present at all AND the auditor considers that there is a very high probability of production failure – or the auditor has actually found evidence of failure to comply with product quality, safety or legal requirements. (Scored "0" for critical check point.)

Reference	Description of findings and Corresponding Corrective Action Plan
Nil	

Non-Compliances

The element addressed by the question is not present at all or is not implemented or there is no positive evidence to show the compliance. (Scored "0" or "1" for any check point.)
The factory has basically met the requirements of the clause but has failed to meet the detail of the requirement.

Reference	Description of findings and Corresponding Corrective Action Plan
205	Risk assessment procedure had been carried out by the organization. Factory stated that injection process is the control point to manage the identified risk. However, the control point was not documented and marked on Quality Control Plan and risk assessment records.

Total Findings

# of Critical		# of NC	

Overall Result

Scoring: **98.8%** **Rank:** **Outstanding**

Remarks:

1. Outstanding **Overall Rating >= 95%**
2. Acceptable **60% <= Overall Rating < 95%**
3. Unacceptable **Overall Rating < 60% OR any critical failure is identified**

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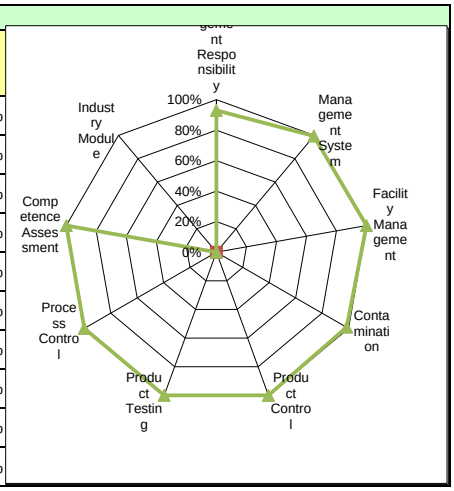
Audit Rating

No	Section	Score Possible	Score Achieved	Critical Failure Found	Rating	Min. Requirement	Possible
A	**Management Responsibility**	57	53	0	93.0%	60%	100%
B	**Management System**	168	167	0	99.4%	60%	100%
C	**Facility Management**	27	27	0	100.0%	60%	100%
D	**Contamination**	75	74	0	98.7%	60%	100%
E	**Product Control**	60	60	0	100.0%	60%	100%
F	**Product Testing**	12	12	0	100.0%	60%	100%
G	**Process Control**	72	72	0	100.0%	60%	100%
H	**Competence Assessment**	27	27	0	100.0%	60%	100%
I	**Industry Module** **N/A**				#VALUE!	60%	100%
Overall Summary		**498**	**492**	0	**98.8%**	60%	100%



Classification Analysis

Category		Subcategory		Possible score	Achieved score
A	**Management Responsibility**	A1	**Management Commitment / Management Review**	**24**	**23**
		A2	**Risk Management**	**27**	**25**
		A3	**Implementation of Risk Assessment**	**6**	**5**
B	**Management System**	B1	**Documentation & Procedures**	**12**	**12**
		B2	**Facility Organization**	**6**	**5**
		B3	**Customer Focus**	**36**	**36**
		B4	**Customer Specification**	**9**	**9**
		B5	**Supply Chain Partner Selection and Monitoring**	**21**	**21**
		B6	**Traceability**	**21**	**21**
		B7	**Recalls**	**18**	**18**
		B8	**Complaint Management**	**6**	**6**
		B9	**Corrective Action**	**6**	**6**
		B10	**Document Control**	**21**	**21**
		B11	**Internal Monitoring**	**12**	**12**
C	**Facility Management**	C1	**Layout**	**12**	**12**
		C2	**Production Flow**	**3**	**3**
		C3	**Facility Environment**	**12**	**12**
D	**Contamination**	D1	**Product Segregation**	**6**	**6**
		D2	**Facilities**	**45**	**44**
		D3	**Pest Contamination**	**9**	**9**
		D4	**Contamination**	**15**	**15**
E	**Product Control**	E1	**Sampling Control**	**21**	**21**
		E2	**Non-Conforming Material Control**	**18**	**18**
		E3	**Transportation, Storage Control**	**15**	**15**
		E4	**Stock and Product Release Control**	**6**	**6**
F	**Product Testing**	F1	**Testing**	**9**	**9**
		F2	**Claims**	**3**	**3**
G	**Process Control**	G1	**Operations**	**21**	**21**
		G2	**Calibration**	**9**	**9**
		G3	**Equipment and Tools**	**15**	**15**
		G4	**Packaging**	**9**	**9**
		G5	**Inspections**	**18**	**18**
H	**Competence Assessment**	H1	**Training**	**27**	**27**
I	**Industry Module**	I	**N/A**		

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A. Management Responsibility

	No.	Requirements	Score	Comments
A1	**Management Commitment / Management Review**			
Critical	101	**Is there an established QMS policy appropriate to the purpose of the facility including customer commitment and manufacturing of safe and quality products?**	3	This factory had been assessed and certified as meeting the requirements of ISO 9001:2015. QMS policy was established, perform, monitors the operation of quality process including customer commitment and manufacturing of safe and quality products.
	102	How is the policy communicated throughout the facility?	3	A documented quality policy was established, which was communicated, understood and posted publicly.
	103	Is there evidence of top management commitment to the established QMS purpose and process as stated above?	3	QMS was established, perform, monitors the operation of quality process by top management commitment . (based on quality commitment/ quality objective/ quality policy/ quality manual and procedures/ responsibility of quality management system).
	104	Does top management review the QMS periodically?	3	An annual management review meeting was taken place to check the QMS
	105	Is there any evidence to show management commitment to comply with requirements and continually improve the effectiveness of the QMS?	2	The top management commitment was sufficiently and adequately implemented for the purpose of continual improvement. The top management held management review once per year and meeting to review KPI and quality improvement per week. However, the weekly meeting documents were recorded incompletely without project name, accurate time and serial number.
	106	Is there any evidence that facility tracks its Key Performance Indicators like turnaround time, efficiency, complaint resolution etc.?	3	The system has comprehensive monitoring and analysis of the company's performance, and it implements control measures for objectives that do not meet the standards. Quality target: a) Quote on-time delivery rate b) IQC reject rate c) Supplier on-time delivery rate d) OTD rate e) Customer complaint f) Defective rate
A2	**Risk Management**			

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	201	Is there evidence that the facility has documented procedure to identify and address risk in the processes at the facility?	3	Does the procedure include, but not limited to: ■ Equipment calibration ■ Contamination of any type of products ■ Condition of the machinery and equipment ■ Safety/ protective equipment, etc. ■ Others
	202	Is there evidence that the risk assessment procedure is reviewed periodically and/or before key processes are changed?	3	Risk assessment procedure had been carried out by the organization. The risk assessment procedure is reviewed periodically and before key processes are changed. The last records was conducted in Dec. 20, 2024.
	203	Does the organization identify and assess risk related to process?	3	Relevant risk assessments have been established related to process.
	204	Does a list of potential risk or hazards in the production process available?	3	The potential hazard of the product has been assessed.
	205	Has organization identified Control Points to manage the identified risk to acceptable level?	1	Risk assessment procedure had been carried out by the organization. Factory stated that injection process is the control point to manage the identified risk. However, the control point was not documented and marked on Quality Control Plan and risk assessment records.
	206	Is Accept / Reject limits defined for each Control Point?	3	The risk level, accept/ reject limits had been determined during the risk assessment process
	207	Has organization taken Corrective Action where a CCP is out of control?	3	Factory stated that the injection process is the CCP, and the corrective and preventive records confirm the correctivie action was taken when CCP was out of control
	208	Is the Responsibility of Control Points assigned?	3	The responsibility of control point was assigned by Mr. KL Chang/ Quality System Manager.
	209	Are records of monitoring & reviews available?	3	The relative records of monitoring and review are available.
A3	**Implementation of Risk Assessment**			
	301	Is there any evidence that risk assessment activities are performed periodically?	3	Risk assessment procedure had been carried out by the organization. The risk assessment procedure is conducted and reviewed periodically and before key processes are changed. The last records was conducted in Dec. 20, 2024.

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	302	Is there any evidence that risk assessment activities are performed by a designated and competent person?	2	Risk assessment process was conducted by Mr. KL Chang/ Quality System Manager. Mr. KL Chang/ Quality System Manager stated quality system control, process and monitor of factory operation accurately, and he attend external quality system training. However, the record and document of training were not kept well.
		Total Possible Score = **57**	**Total Achieved Score =**	**53**
B. MANAGEMENT SYSTEM				
	No.	**Requirements**	**Score**	**Comments**
B1	**Documentation & Procedures**			
	401	Is there evidence that the facility has a procedure/ QMS documentation that provides clear guidelines on the process to be used to meet system requirements?	3	The quality management system was established, which included Quality Manual, quality policy, quality objectives, document, Data Management procedure, etc. and has been communicated to all
Critical	402	**Does the QMS documentation adequately comprise of guidelines including procedure, examples and instructions that are appropriate for all the products being manufactured at the facility?**	3	As per Document and record management procedure and Customer property management procedure, customer property including documents were identified and controlled by Sales department. Written Document and record management procedure was established which ensures all internal documents were up-to-date. Updated document control master list was available.
B2	**Facility Organization**			
	501	Are responsibilities and authorities clearly defined, communicated and understood by all the workers involved in processes of the facility including customer commitment and manufacturing of safe and quality products?	3	As their Organize management procedure, all responsibilities and functions of personnel and department in the factory were defined in the organization chart and well known by relevant personnel.
	502	Does the facility also appoint back up authority for each responsibility in case of absence or temporary re-assignment of the relevant person?	2	Factory stated that the appointed back up authority was available for each responsibility in case of absence or temporary re-assignment of the relevant person. However the appointed and back up personnel and description were not documented and recorded.
B3	**Customer Focus**			
Critical	601	**Does the facility document specifications agreed with customers?**	3	Based on Quote and product order review procedure (QP-040300), product specification and inspection records, all necessary specifications and requirements or reference samples with comments and agreements were provided to suppliers to ensure the requirements are understood and met. WI was placed at workplace as guidance. All customer needs, specifications and requirements were internally communicated. Sales department took charge of review and understanding of client's requirements, specification.

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Critical	602	**Is there evidence that the facility has established processes to ensure customer specifications, needs and requirements are communicated to all relevant workers?**	3	Initial audit in April 22, 2025: Basic information has been provided to relevant personnel. However, there is no written record of the process stations in the manufacturing area, and the process transfer must rely on the oral instructions of the supervisor or relevant personnel or the inference of the material number. Desktop review in May 02, 2025: Factory had established the code system of product manufacturing process. Factory also posted the code system on bulletin board publicly and printed the code on manufacturing order that all workers could understand the process transferring during production.
Critical	603	**Is there evidence that the facility has a documented procedure with performance indicators to measure customer satisfaction?**	3	Based on Quality objective management procedure (QP-040103), factory established the performance to measure customer satisfaction including Customer complaint performance and corrective action to meet customer requirement.
Critical	604	**Is there evidence that the facility has a documented procedure to safeguard customer information including their IP?**	3	Based on Computer software and external information management procedure (QP-040502), information management records review, factory safeguard customer information including their IP.
B4	**Customer Specification**			
	701	Is there evidence that specific guidelines are provided for all steps of operations? This should include incoming raw materials, in-line production, finishing, package/ labeling.	3	Factory established the procedures of IQC, IPQC, FQC and Manufacturing process management procedure for all steps of operation. Relative SOP and WI were also provided for workers' review.
	702	Are the specific guidelines appropriate, accurate and aligned with legal and customer requirements?	3	Production and sale personnel collected legal requiremnet, internal/ external market information, client's samples and requirement to establish new product development plan. Production Department designed, communicated, pre-manufactured sample, made pre-production and reviewed the process effectively. According to evaluation result, research personnel delivered the key technique information to Production Department then checked the quality and stability of first batch production.
	703	In case of any changes in specifications from the customer, are such changes formally documented and communicated to relevant workers?	3	As per modification communication procedure (FM-040300-8), any production change shall be communicated to customer, operators or related staffs. Any change of components, raw materials shall be communicated to suppliers in time and shall get confirmation from them.
B5	**Supply Chain Partner Selection and Monitoring**			

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Critical	801	**Does the facility clearly define procedures and criteria for selection, evaluation, re-evaluation and monitoring of all suppliers and subcontractors ?**	3	The criteria for selection, evaluation of suppliers and subcontractors was set up in accordance with Supplier assessment management procedure (QP-040-602). The scoring complied with procedure.
	802	Does the facility have a systematic program to establish supplier control and validation of sub contracted processes and materials?	3	Factory has performed the Supplier assessment management procedure (QP-040-602). The new supplier selection was implemented based on supplier's production ability (facilities & techniques), production capability and skill. The original supplier selection was implemented based on supplier's products quality, delivery time and service.
	803	Is the supplier control used effectively based on subsequent product realization or the final product acceptance?	3	Based on Supplier Management Procedure and Approved Vendors List (AVL), Purchasing Departmentcollect key information which included quality(final product acceptance), delivery, and service.
	804	Do the procedures clearly define the required KPI's for all suppliers and criteria for monitoring them?	3	Factory define the KPI's for all suppliers, and then monitor the requirement. The objectives were determined and reviewed monthly Target: a) IQC reject rate b) Supplier on-time delivery rate.
	805	Does the facility clearly communicate appropriate purchasing information (i.e. specification) and legal requirements to suppliers? This can include raw-materials, packaging accessories etc.?	3	Necessary specifications, legal requirements or reference samples with comments and agreements were provided to suppliers when final confirmation was made by both parties. A formal process for ensuring all sub-contracted activities was carried out with the same quality standards such as QC inspector followed the purchase order to check the specifications.
B6	**Traceability**			
Critical	901	**Does the facility have a clearly defined traceability system for lot identification, raw materials, in-line and post production processing?**	3	Factory established the product identification and traceability management procedure (QP-040800) for lot identification, raw materials, in-line and post production processing through batch number system.
	902	Is there evidence that facility ensures traceability for raw materials, in-line and post production processing?	3	Factory provided the samples of batch number label form raw materials, in-line and post production processing that the batch number could be traced effectively.
	903	Is there evidence that the facility is able to identify and accurately trace all the final production lots to their raw material lots when sampled randomly?	3	Auditor sampled the batch number of on-site product to check the traceability, and the batch number system could identify and accurately trace all the final production lots to their raw material lots.

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	904	Is there evidence that the facility is able to identify and accurately trace all the raw materials in final products when sampled randomly?	3	Auditor sampled the batch number of final products to check the traceability, and the batch number system could identify and accurately trace all the final production lots to their raw material lots. Factory also provided the samples of batch number label form raw materials, in-line and post production processing that the batch number could be traced effectively.
	905	Does the facility have a monitoring system to ensure accurate traceability at all stages and processes?	3	Factory established the batch number system and monitored the system stability regularly to to ensure accurate traceability at all stages and processes.
B7	**Recalls**			
	1001	Does the facility have a documented procedure for onsite incidents and emergencies that can have an impact on production processes and/ or the product quality?	3	Factory established the procedure for onsite incidents and emergencies that can have an impact on production processes or the product quality.
	1002	Does the facility have a documented procedure for customer communication and notification of products being delivered or already delivered that might be potentially unsafe or illegal?	3	Factory established the procedure for customer communication and notification of products being delivered or already delivered that might be potentially unsafe or illegal.
Critical	1003	**Does the facility have a documented procedure or program for product recall?**	3	Initial audit in April 22, 2025: Factory did not establish the documented product recall procedure. Desktop review in May 02, 2025: Factory had establish the documented product recall procedure, and the conduct the product recall drill to check the identification and traceability.Factory provided the relative documents and records for review.
	1004	Does the facility have a monitoring system in place to check the implementation of their product recall program?	3	Initial audit in April 22, 2025: Factory did not establish the documented product recall procedure and the monitoring system in place to check the implementation of their product recall program. Desktop review in May 02, 2025: Factory had established the batch code system and used the product label to check the to check the implementation of their product recall program. Factory also condcuted the product recall drill to check the identification and traceability of batch code system.
B8	**Complaint Management**			

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	1101	Does the facility have a documented customer complaint system?	3	The Customer complain management procedure (QP-041401) had been
	1102	Is there evidence that the facility performs a root cause analysis on the complaints and take appropriate follow up actions?	3	Factory established Corrective and preventive managemnet procedure (QP-041400) that the complaints are thoroughly investigated and corrective actions taken to eliminate the root cause of non-conformities to prevent recurrence.
B9	**Corrective Action**			
	1201	Does the facility have a documented procedure to investigate any non-conformities in the processes?	3	Factory established the Corrective and preventive managemnet procedure (QP-041400) for investigating the cause of significant non-conformity against operation procedures, which are critical to product safety, legality and quality.
	1202	Is there evidence that appropriate and timely actions are taken to address non conformities and monitoring for recurrences?	3	Based on CAP records review, factory takes timely actions to eliminate the root cause of non-conformities against operation procedures in order to prevent recurrences.
B10	**Document Control**			
Critical	1301	**Does the facility have procedures for document control including customer specifications, work procedures guidelines etc.?**	3	The Document and information management procedure (QP-040501) had been documented and followed.
	1302	Is there evidence that the access to documents are restricted and controlled?	3	Factory set the procedure of document management center revise and access and quality department and management personnel access. It was acceptable, e.g. it was access restricted by computer document management system
	1303	What is the retention time of documents at the facility? Does the facility comply with customer requirement on document retention?	3	All relevant safety, legal, quality and complaint documents (e.g. QC, production, complaint, product safety records, etc.) were legible and retained in good condition for the time specified by customers or the factory QMS from 3 months to 3 year.
	1304	Is there evidence that most updated documents are in use?	3	All documents in use are the correct version.
	1305	Does the facility have a procedure for any changes made to the documents? Are they signed by the management and version numbers noted?	3	As per document review, the revision of the procedure was authorized by the Quality system manager.
B11	**Internal Monitoring**			

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Critical	1401	**Is there a documented procedure for monitoring QMS at the facility via internal audits at regular intervals?**	3	Internal Quality Audit Procedure was established, and all responsibilities, functions of personnel, audit process and quality representative were clearly defined. Internal audit was conducted once a year per planned intervals. The latest one was carried out on Dec. 16-17, 2024.
	1402	Is there evidence that all the findings during internal audits are closed within required timeline?	3	All corrective actions and follow-ups related to internal audits are satisfactorily completed within required timeline.
		Total Possible Score = 168	**Total Achieved Score = 167**	

C. Facility Management

	No.	Requirements	Score	Comments
C1	**Layout**			
Critical	1501	**Is the structure and design of the facility appropriate to avoid any type of contamination of products?**	3	It was acceptable, as per on-site observation.
	1502	Is the layout of the facility aligned with best possible ergonomics to ensure safety and efficiency of people and products manufactured?	3	It was acceptable, as per on-site observation.
C2	**Production Flow**			
	1601	Does the layout of the facility including storage, offices, production area, shipping and receiving areas are clean and safe for all the people and processes at the facility?	3	The production, finishing and packing areas were clean with good maintenance for all the people and processes at the facility.
C3	**Facility Environment**			
	1701	Is the facility appropriately lit for the various processes including cutting, sewing, production, testing, storing, finishing?	3	The work environment was managed to achieve conformity to product requirement, it was acceptable.
Critical	1702	**Is the facility appropriately ventilated for the various processes including cutting, sewing, production, testing, storing, finishing?**	3	In general, it was acceptable, well lit and ventilated. Sufficient lighting on production, revising, finishing, inspection, packing and loading areas.
		Total Possible Score = 27	**Total Achieved Score = 27**	

D. Contamination

	No.	Requirements	Score	Comments
D1	**Product Segregation**			

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	1801	Does the facility have documented procedures and guidelines to ensure cross contamination of products is controlled?	3	Does the procedure include, but not limited to: ■ Raw Material ■ in-line and post-production ■ Waste ■ Cleaning activities and supplies ■ Pest Control ■ Others
	1802	Is there evidence that the procedures and guidelines to control product cross contamination is being implemented?	3	The placement of items is tidy, and the storage of raw materials, semi-finished products and finished goods were storaged well.
D2	**Facilities**			
Critical	1901	**Is the layout of the facility designed to ensure utility areas like cafeteria, restrooms, dormitories etc. do not contribute to product contamination?**	3	The organization's facilities were well organized, for example the canteen area was in the basement and the washroom was separate from the production area.
	1902	Are there clearly defined guidelines that restrict workers from eating, drinking and smoking at the work stations and/or in the production area to avoid risk of contamination?	3	There was a ban on food/drink/smoke in the workplace and had been well followed. The smoking area was set and away from the production area at the 1st floor.
Critical	1903	**Are the workers provided with appropriate hand cleansing and sanitizing facilities within production area and other key areas to avoid risk of contamination?**	3	The protective suit was a requirement of the manufacturing process area, and the changing facilities were next to the production area.
	1904	Are the workers provided with appropriate facilities to change into PPE if needed?	3	Workers need to wear earplug and mask at plastic smash area.
	1905	Are there clearly defined guidelines that restrict workers to bring personal belongings like jewelry in the production area to avoid risk of contamination?	2	Factory restrict workers to bring personal belongings like jewelry in the production area to avoid risk of contamination in accordance with management and workers interview. However, there was no documented guideline posted on-site
	1906	Are the production areas cleaned completely to avoid risk of contamination?	3	It was acceptable, as per on-site observation.
	1907	Are all storage, staging, inspection, production, finishing, packaging and shipping areas free of pests to avoid risk of contamination?	3	It was acceptable, as per on-site observation.
	1908	Are the chemicals being used in production areas identified and controlled to avoid risk of contamination?	3	Cleaning oil was storaged clearly and tidly with 2nd container to prevent leakage.
	1909	Does the facility have signed contracts with 3rd party cleaners where scope of cleaning and frequency are clearly defined?	NA	All workers conducted the 5s and cleaning per day.

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	1910	Is a record maintained for the cleaning work done for all areas in the facility, equipment and storage?	3	The inspecion and cleaning records were documented per day for all areas in the facility, equipment and storage
	1911	Does the record maintained for the cleaning work done include the name of the person, materials used for cleaning, frequency, verification etc.?	3	The repsonsible of cleaning work was recorded in document including the name of the person, materials used for cleaning, frequency, verification
	1912	Is there evidence that only trained and experienced personnel carry out cleaning activities?	3	All workers were assigned and trained for carrying out cleaning activities.
D3	**Pest Contamination**			
	2001	Does the facility has documented pest control guidelines to identify and control pest infestation?	3	Factory established the pest control guidelines to identify and control pest infestation
	2002	Does the facility have signed contracts with 3rd party pest controllers to ensure appropriately trained staff performs the service?	3	The organization had secured a contract with an external service provider, the rat control carried out twice per month, and the flying control had carried out twice yearly.
	2003	Does the facility maintain inspection records for pest control?	3	The pest control record well kept.
D4	**Contamination**			
Critical	2101	**Is there a system to identify and control the transportation and storage of all materials and products to prevent contamination from**	3	Transportation management procedure and Storage management procedure
	2102	Is there a system to identify and control any type of foreign body contamination of all materials and products specifically from packaging?	3	Factory conducted the 100% inspection process of packing personnel and sampled inspection of QC personnel to prevent and control any type of foreign body contamination of all materials and products specifically from packaging.
	2103	Are sharp tools like scissors, clippers etc. tied to the work station while in use for production activity?	3	The sharp tools in the factory are numbered and kept by dedicated personnel. They are returned to the factory for unified management after get off work.
Critical	2104	**Are there documented guidelines for using metal and/or foreign body detection equipment that details specifically the type, use, maintenance, calibration, records keeping requirements etc.?**	NA	No relevant process requirements due to only plastic products existed in the factory.
	2105	Does the facility ensure elimination of wood except when needed for production or for pallets?	NA	Neither wood parts nor wood pallets existed in the factory.
		Total Possible Score = **75**	**Total Achieved Score =**	**74**

E. Product Control

	No.	Requirements	Score	Comments
E1	**Sampling Control**			

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Critical	2201	**Is there a documented procedure for managing reference samples for production?**	3	Does the procedure include, but not limited to: ■ Categorization ■ Organization ■ Selection ■ Handling and use ■ Approvals ■ Storage of the samples ■ Others
	2202	Is there evidence that the facility retains customer approved samples and/or sample representative? For how long?	3	The factory has a documented procedure, and factory also established the document to control the retention period, approval and use of reference samples. The retained and refresh period is one year.
Critical	2203	**Are these sample retained securely, inventoried and tracked for a pre-defined period under appropriate environmental conditions? (covered / wrapped / racked / palletized / stacked etc.)**	3	It was acceptable, as per on-site observation and documents review.
E2	**Non-Conforming Material Control**			
	2301	Is there a documented procedure to control/ avoid use of non-conforming products and materials?	3	Based on Non-Conformance Product Management Procedure, the products were segregated to prevent cross contamination. Non-conformance products were treated by these ways of sorting, recycling or destroying.
	2302	Are these procedures communicated and appropriately implemented by all the employees associated with samples and sample management?	3	Factory arranged training and communication for relative workers, and workers appropriately implemented associated with samples and sample management.
Critical	2303	**Is there evidence that all non-conforming products are segregated and/or disposed of based on customer and legal guidelines?**	3	The NG materials/products have been placed in the designated and segregated area.
	2304	Is there a evidence that the cause and follow up actions of each non-conformity found is well documented at the facility?	3	CAPA record well kept.
E3	**Transportation, Storage Control**			
Critical	2401	**Does the facility ensure suitable preventive steps are in place to eliminate risk of product contamination and damage during transportation, distribution and storage throughout the supply chain?**	3	It was acceptable, as per on-site observation and documents review.
	2402	Does the facility have provision to load and unload transportation vehicles in covered areas in order to minimize the product contamination and/or damage?	3	It was acceptable, as per on-site observation and documents review.

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	2403	Does the facility have procedures to monitor the suitability of transportation (trailers and containers) and check the stability of loading in order to maintain the integrity of the product during transportation to final destination?	3	It was acceptable, as per on-site observation and documents review.
E4	**Stock and Product Release Control**			
	2501	Does the facility have documented procedures to ensure that products released for shipping are in line with customer specifications?	3	Does the procedure include, but not limited to: ■ Guidelines on authorization ■ Guidelines on matching specification ■ Quantity etc.
	2502	Does the facility require subcontractors and homeworkers to conform to product dispatch procedures?	NA	No home-workers / subcontractors.
	2503	Is there a system to ensure correct stock rotation and accurate labelling is in place? (First-in, First-out)	3	The warehouse was managed in FIFO fashion with batch number label system.
		Total Possible Score = 60	**Total Achieved Score = 60**	
F. Product Testing				
F1	**Testing**			
	2601	Does the facility have documented procedures to perform or outsource testing/ inspections at each stage of processes: pre-processing (raw material), inspection of in-line production, post-processing (final product) to ensure customer requirements are met?	3	Does the procedure include, but not limited to: ■ Sample selection ■ Sample size ■ Method of testing ■ Result criteria ■ Frequency ■ Others
	2602	Does the facility have in-house testing capabilities for any required tests?	3	The capability testing had been carried out by qualified 3rd party lab to meet customer requirement. Factory only conducted the measurement for size and weight.
	2602a.	If yes, does the facility ensures that the testing capabilities conform to approved independent lab or an equivalent accreditation standard?	3	The capability testing had been carried out by qualified 3rd party lab to meet customer requirement including material and function test.
F2	**Claims**			
	2701	Is there evidence that the facility performs claimed testing to validate product quality etc.?	3	Factory provided the test reports of qualified and approved 3rd party lab to validate product quality and material.
		Total Possible Score = 12	**Total Achieved Score = 12**	

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G. Process Control				
G1	**Operations**			
Critical	2801	**Does facility leadership meet to establish a production process map for new and substantially modified products?**	3	Factory has established the production process map for each product.
	2802	Are process changes and modifications documented and authorized?	3	As per modification communication procedure (FM-040300-8), any production or process change shall be documented and authorized by relative personnel and Quality system manager.
	2803	In case any deviation is identified in the process, are appropriate corrective actions taken and recorded?	3	Factory established the Corrective and preventive managemnet procedure (QP-041400) for investigating the cause of significant non-conformity against operation procedures, which are critical to product safety, legality and quality.
	2804	Does the facility have documented procedures for incoming material to ensure all conforms to provided specifications, documented batch release, compliance to regulation for country where it is intended to be sold?	3	Necessary specifications, requirements or reference samples with comments and agreements were provided to suppliers when final confirmation was made by both parties. As per Inspection and test procedure , the measures (IQC) were taken to ensure raw materials conforms to required specifications before use. Factory used sampling plan for IQC process. Inspection criteria was set against MIL-STD-105E. IQC inspection records were kept on file.
	2805	Do these procedures apply to sub-contractors, homeworkers or any other work performed offsite?	NA	Neither sub-contractors nor homeworkers existed in the factory. Not any other work performed offsite.
	2806	Is there evidence that the incoming materials are inspected?	3	IQC records were conducted and maintained well against incoming materials. QA dept. reviewed all NCs, investigated problem, analyzed root cause and issued non-conformance report, and then performed corrective and preventive action for improvement of NCs.
G2	**Calibration**			
	2901	Is there evidence that equipment used to assess incoming material is frequently calibrated? How often?	3	Written equipment calibration management procedure was in place. Detailed list of test gauges/ equipments/ instruments was available, which included traceable calibration information such as the latest calibration date, expiry date, coming calibration date, internal or external calibration, calibration report. The frequence of calibration was once per year.
	2901a.	If yes, are the records for the calibration maintained?	3	All measuring tools were clearly identified. Calibration equipments list, calibration report and the clear label stuck on equipments were consistent with requirement.

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	2902	Does the facility have documented procedures clearly defining steps to take when equipment is not operating within expected tolerances?	3	Written equipment calibration management procedure was in place. All measuring tools were identified with the calibration label. It was traceable by calibration label if the equipment was not conformed. No such case ever occurred during past years. If equipment is not operating within expected tolerances, factory would re-measure the products by appropriate equipment.
G3	**Equipment and Tools**			
	3001	Is there evidence that the facility clearly specifies the equipment, parameters and tooling for production?	3	The production machinery was suitable for the production proposed.
	3002	Does the facility have systematic procedure to perform planned maintenance for all equipment critical to product safety and quality as per standard and legal requirements?	3	The Equipment maintenance procedure had been documented, the maintenance plan and the record well kept
	3003	Is there evidence that all records for maintenance schedules are performed on time and documented?	3	The monthly, bi-monthly, and annual maintenance plan had been documented and followed.
	3004	Does the facility ensures that risk of contamination, safety and efficiency of work is addressed during maintenance workshops?	3	As per maintenance procedure review, the maintenance workshop was required to be separated from the workplace.
	3005	Are the tools, equipment, machines and any other production means currently clean and in good working condition?	3	Items in the factory are clearly marked and maintained. However, molds stacking were found in the engineering and manufacturing areas, and the floor of the manufacturing area is damaged.
G4	**Packaging**			
	3101	Does the facility have procedures for product packing to ensure customer requirements are met?	3	As per Packing management procedure (QP-041-503) and record review, the FQC had been carried out by the organization.
	3102	Is the information on labels and packaging verified by the facility to ensure it meets customer requirements and also complies with regulatory requirements of the country it is intended to be sold?	3	The primary package, which included the labels, batch number had been checked.
	3103	Is the storage space for packed goods enough as per factory capacity?	3	Based on factory tour, the storage space for packed goods was enough and clean per capapity.
G5	**Inspections**			
Critical	3201	**Are there adequate areas for in-process inspection / testing?**	3	Adequate QC room was available. QCs sampled inspection samples to QC room for conducting inspection and measurement.
	3202	Does the facility has written procedures for in-process testing/ inspection including sampling system to ensure customers requirement are met?	3	Relative procedure, WI and quality requirements were set up, and posted at workstation as workers guidance. Operators were strictly required to follow the instruction during production.

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	3203	Are products being inspected as per customer requirements?	3	Does the inspection criteria include, but not limited to: ■ Specifications ■ Color ■ Visual Appearance ■ Others
	3203a.	If yes, are customer requirements readily available to the inspectors?	3	Written QC engineering flow chart and customer requirements were in place for the inspectors' reference which defined main production steps and detailed specifications.
		Total Possible Score = 72	**Total Achieved Score = 72**	
H. Competence Assessment				
H1	**Training**			
	3301	Does the factory have established training procedures for the workers?	3	Written Education and Training Procedure was established. Orientation training and On-job training were provided to work-related staff. Factory also establish annual training plan.
Critical	3302	**Is the competence of workers determined before work allocation to ensure product quality and safety?**	3	Written Human resources procedure was available. Internal training records was available to prove competence of workforce. Suitable competence was confirmed during the audit, especially for key operators and QC inspectors.
	3303	Are the workers apparently competent to perform the work allocated to them?	3	All workers apparently competent to perform the work allocated to them.
Critical	3304	**Do workers receive appropriate training for the work allocated to them?**	3	Factory arranged appropriate training regularly for the work allocated to each worekr.
	3304a.	If yes, how often?	3	From once per day to per year in accordance with work content.
Critical	3305	**Are the workers appropriately mentored and monitored by supervisors during work period?**	3	Factory Manager, Quality manager and supervisor were both authorized as production and quality mentoring and monitoring authority, who was responsible for overall issues during work period.
	3306	Are the workers trained on risk assessment procedures, their outcome and corresponding actions according to their activities?	3	All workers received the training of risk assessment process, and their outcome and corresponding actions were according to their activities.
	3307	Does the facility evaluate effectiveness of the training provided to the workers?	3	Factoryevalusted the effectiveness of the training provided to the workers regularly.
	3308	Are the training records maintained and stored securely to ensure worker privacy is protected?	3	All training records were maintained and storaged securely at HR room to ensure the privacy
		Total Possible Score = 27	**Total Achieved Score = 27**	

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I. INDUSTRY MODULE (Toys)

	No.	Requirements
I1	**General Requirements**	
Critical	101	**Is the chemical analysis for raw materials (plastics, pigments, paints, solvents etc.) against EN 71-3 or similar standards conducted and are the test reports kept at the factory?**
	102	Does the factory control the storage of raw material?
	103	Is there an overview of all sub assemblies, exploded view showing how the sub assemblies are connected?
	104	Is there d a bill of substances available?
	105	Does the factory establish and implement the documented sharp tool control procedure (written instructions / detailed records of issuing & recalling for daily use) effectively?
	106	Does the inspection and testing of finished products cover the sharp point / sharp edge after drop test, torque test, pressure test, pull test etc.?
	107	Does the inspection and testing of finished products cover the screw torque force test?
	108	Is the statement / warning label (intended age of users, choking risk of small parts, injury hazards of moving parts etc.) on product packaging adequate?
Critical	109	**Are sharp tools used in production adequately controlled (written instruction and records)?**
	110	Does the factory have a test report against EN 71-1/2/3 (for EU) and ASTM F963 (for US)?
I2	**Plastic Toys**	
	201	Is the pigment formulation controlled?
	202	Are the different types of plastic material segregated and controlled during the grinding stage so as to prevent mixing?
	203	Are moulds cleaned before production to avoid contamination and impurities?

	204	Is record kept of the number of cycles a mould is used?
	205	Is the plastic injection parameter controlled and recorded?
	206	Is an impact test conducted on injection parts?
	207	Is the injection part fitment test conducted so as to match the assembly?
	208	Is an adhesive test conducted on silk screen / tampo printing and spray-painting processes?
	209	Are the chemicals (such as painting etc.) in the warehouse rotated according to a FIFO system?
I3	**Electrical Toys**	
	301	Is turn off current / operation current / stand-by current testing conducted and do the results meet the planned criteria?
	302	Is the low / high voltage test conducted in the production line?
	303	Does the product have a self-turn-off function?
	304	Is the short circuit / abuse test to battery box conducted and do results meet the planned standard?
	305	Is testing against standards such as the EMC Directive, EN 62115, ASTM F963, ESD etc. conducted and are reports kept?
I4	**Stuffed Toys**	
	401	Is inspection conducted on the fabric?
	402	Does the stuffing material pass the hygiene test against industrial or international standards?
	403	Is seam strength testing for the sewing process (including the sewing label, accessories etc.) conducted?
	404	Is there an inspection on the handmade closing seam?
	405	If the product has an eyeball, does it pass the pull force test?
Critical	**406**	**Are sewing needles (including manual sewing needles) used in production adequately controlled (written instructions and records to register them)?**
Critical	**407**	**Are broken needles fully collected and set aside before delivering replacements to production?**
Critical	**408**	**Does the factory establish and implement documented needle, gloass and metal detection instructions? Are any records kept?**
	409	Is the calibration of needle detectors conducted and recorded?
	410	If the calibration of needle detectors gives a fail result, how does the factory dispose of the products tested by metal detection?
		Total Possible Score = **0** **Total Achieved Score =**

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Score	Comments
NA	Products Manufactured: Plastic products; Metal mold repairment
NA	
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FACTORY CAPACITY &
ASSESSMENT F

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I. INDUSTRY MODULE (E&E)

	No.	Requirements
I1	**Storage**	
	101	Are storage conditions for critical materials (such as IC, ESD chip sets, MSD component & etc.) acceptable?
Critical	102	**Is the period of validity controlled when necessary, such as with battery, solder paste, red expoxy & etc. materials?**
I2	**Process**	
	201	Are earthed floors and ESD bands and gloves worn by staff undertaking sensitive operations (e.g. PCB assembly)?
	202	Is there adequate control of the software used for the test measurements?
	203	Are factors in environmental conditions such as housekeeping and cleanliness controlled and suitable for the operation performed?
	204	When the Hi-pot mark is added to the product (if applicable), does the Hi-pot tester undergo daily function checks?
Critical	205	**Does the factory efficiently prevent contamination between RoHS and non-RoHS productions if applicable?**
	206	Are regular analyses performed and recorded of the COB/ AI / SMT / wave soldering / ICT processes of those systems' automatic machine kept?
	207	Do all the reworked products undergo re-inspection and retesting?
Critical	208	**Are regular validations of key parameter settings / key items performed and recorded on the tin bath, dipping soldering, reflow oven soldering, wave soldering, plastic injection, heat-sealing, ultrasonic welding processes, hand-soldering irons, screwdrivers etc.?**
I3	**Finishing**	
Critical	301	**Does product test criteria documented by factory meet the related industrial international statdard?**
Critical	302	**Is product related safety testing correctly performed in line, e.g. Hi-pot test, leakage current test, earthing resistance test, micro-wave leakage test, refrigerant leakage test & etc.?**
	303	Is turn off current / operation current / stand-by current testing and all other functional testing conducted and does it meet the planned criteria?
	304	Is the low / high voltage test conducted in the production line?
	305	Does the product have a self-turn-off function?
		Total Possible Score = **0** **Total Achieved Score =**

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Score	Comments
NA	Products Manufactured: Plastic products; Metal mold repairment
NA	
NA	
NA	
NA	
NA	
NA	
NA	
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NA	
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NA	
NA	
0	

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I. INDUSTRY MODULE (Softline)

	No.	Requirements	Score	Comments
I1	**Incoming Supervision / Supplier Chain Management**			
	101	To ensure customer specifications are met, are shades of yarn and fabric compared with approved samples?	NA	Products Manufactured: Plastic products; Metal mold repairme
	102	Are the fabrics inspected using any of the standard system like 4-point, 10-point etc.? Please specify.	NA	
	103	Does the facility have a written procedure in-place to ensure shade matching and trim color on each dye lot?	NA	
	104	Once dyed, are all trims and relevant accessories tested and compared with approved sample to ensure customer specifications are met?	NA	
I2	**Sample, pattern and Marker Making**			
	Samples			
Critical	201	**Are production samples made in the factory?**	NA	
	202	Are the samples tested and compared with approved sample to ensure design details and customer specifications are met?	NA	
	203	Is the initial sample developed in the facility?	NA	
	204	Is there a systematic process of checking the samples?	NA	
	205	Is a skilled sample room technician available and capable of modification of patterns, when required?	NA	
	206	Are bulk fabrics / yarns checked for shrinkage?	NA	
	207	Are equipment and machinery in appropriate quantity in the sample room?	NA	
	208	Does the sample room have any dummy fitting forms in the facility?	NA	

	Patterns			
Critical	210	**Are paper patterns made at the facility?**	NA	
	210a.	If yes, is there a system in place to ensure all patterns are fully checked for accuracy before release into production and are there records to demonstrate this?	NA	
	211	Does the facility have documented procedures for fabric spreading and controls based on fabric properties?	NA	
	212	Are acceptable processes like relaxation time and spread height in place for fabric?	NA	
	213	Are shade variances controlled within the spreading process?	NA	
	214	Are the yarns and fabric cut according to the shade and dye lot? Example: light colors are cut separated from darker shades.	NA	
	215	When necessary, is each cut piece individually ticketed with data to give total traceability?	NA	
	216	Are the cut panels checked and compared to the marker from the top, middle and bottom panels of cut panel blocks?	NA	
	217	Does the facility have a procedure in place for replacement of a defective cut panel with fabric from the same dye lot?	NA	
	218	Is the quality of fusing monitored using temperature testing and strength of the bind?	NA	
	Marker			
	219	Is CAD system and plotter used for grading, consumption and marker?	NA	
I3	**Needle Control**			
Critical	301	**Are all needles being used under controlled supervision? Any spare needles being held in place by operators?**	NA	
Critical	302	**If a needle is broken, is there a process for the replacement?**	NA	
	303	Are all parts of the broken needle securely attached to a "Broken Needle Records Form" along with details of date, machine and operator?	NA	
	304	Does the factory retain all needle control records for a minimum of one year?	NA	
	305	Is appropriate action taken when a needle is missing or fragments cannot be found?	NA	
I4	**Sewing, Knitting, Linking**			

	401	Are the sewing and/ or knitting lines layed out in the facility as per the process flow and appropriate work instruction provided?	NA	
	402	Is random inspection carried out at the end of the line?	NA	
	403	Are knitting lines effectively organized?	NA	
	404	Does all operators have approved procedures explaining the sewing and/or knitting sequence for each style?	NA	
	405	Are panels inspected in the garment factory before linking?	NA	
	406	If outside knitters are used, are the subcontractors visited adequately?	NA	
	407	Is in-line inspection carried out after linking?	NA	
	408	Is a color continuity system used to separate shade lots?	NA	
	409	Are approved reference samples available in cutting section and on the sewing/ knitting/ linking floor?	NA	
	410	Does the factory have a system to manage the labels and hangtags?	NA	
	411	Are labels stored securely on the production floor?	NA	
	412	Are labels issued onto the production line in the same quantity, size and color as the work being introduced into production?	NA	
	413	Are replacement labels issued on a controlled basis with records?	NA	
I5	**Wet Processes**			
	501	Does the factory have onsite laundry facility?	NA	
	502	Are all washing batches inspected and compared with approved shade band under appropriate light source?	NA	
	503	Are all washing batches inspected for critical measurement before and after washing?	NA	
	504	Are the products weighed to correctly calculate detergent quantity and used as per the washing formula?	NA	
	505	Are laundry formulas, reference samples and approved shade bands readily available for operator's and inspector's easy reference?	NA	

	506	Are there written guidelines to control steps like processing cycles, time, temperature and pH of the solution?	NA	
	507	Does the factory have written procedures to ensure customer specifications for color, hand feel and other properties are met after wet processing?	NA	
	508	Are water and steam tested periodically to ensure that does not cause stains or has any impact on the product?	NA	
	509	Are hand feel and appearance samples available in this section?	NA	
	510	Is a light inspection carried out before washing?	NA	
	511	Is a light inspection carried out after washing?	NA	
I6	**Process Control**			
	601	Are set up instruction sheets available at each machine for embroidery?	NA	
	602	Is thread tension monitored and records kept?	NA	
	603	Are products (complete or partially complete) and processes (printing, etc.) done by sub-contractors inspected after products are submitted upon completion?	NA	
	604	Does the facility have written guidelines and controls for critical machines, setting of needles/ weights per fabric type?	NA	
	605	Are seconds and/or overrun products disposed as per customer requirements?	NA	
	606	Are the products with filling like jackets, being tested for flammability as per the legal requirements of the country where the product is to be sold?	NA	
	607	Do filled products that are exported to USA have a law label sewn on them?	NA	
I7	**Printing**			
	701	Is printing automatic or manual? Do they maintain the records of recipes and samples available for operators?	NA	
	702	Are operators trained or have they been hired based on skill level?	NA	
	703	Are screens made in-house or contracted to outside vendors?	NA	
	704	Are in-process and finished pieces inspected and seconds replaced before releasing back to production workflow?	NA	

	705	Are there organized and controlled storage areas for chemicals and paints?	NA	
I8	**Finishing**			
	801	Is the trimming conducted as per the customer requirements or are standard procedures followed?	NA	
	802	Is the pressing done as per the customer requirements or are standard procedures followed?	NA	
	803	Is there evidence that all chemicals used at the facility are stored under controlled environment to avoid degradation specially during dry-cleaning activities ?	NA	
	804	Does the facility ensures that all chemical have MSDS, procedures, usage and handling guidelines at point of use?	NA	
	805	Are products separated by the shades as per the customer requirements or are standard procedures followed?	NA	
	806	Is a conveyor-belt-type metal detector used?	NA	
	807	Before any finished goods can be passed through the metal detector, are "checking tests" carried out using the nine-point system?	NA	
Critical	808	**Does the factory conduct 100% metal detection for the products?**	NA	
	809	Does the factory have a "metal-free" area?	NA	
		Total Possible Score = **12** **Total Achieved Score =**	**#VALUE!**	

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K. Footwear Module

	No.	Requirements	Score	Comments
K1	**Factory Facilities/Equipment and Housekeeping**			
	101	Does the outdoor property of the factory generally look tidy? Such as no rubbish dump, rubbish storage nearby? What is the general requirements of housekeeping? Does the buildings & environment generally look clean? Such as stairs, aisle, corridor outside of workshops but within building?	NA	Products Manufactured: Plastic products; Metal mold repairment
	102	Is factory fully set up with quality standard for production process? Incoming material warehouse →IQC Inspection → Sample Making → Cutting → Skiving → Closing → Stitching → Lasting → Finishing → Packing	NA	
	103	Is factory layout in an efficient manner?	NA	
	104	Are the storerooms/ warehouses well organized under proper condition?	NA	
	105	Does sample room have proper work sheet record system? If factory installs computer cutting process design system, please specify in detail like brand, software, module……etc.	NA	
	106	Is the light sufficient in production workshop?	NA	
	107	Does factory have electronic balance, thermometer and other test equipment in use? Are they regularly calibrated by accredited party at yearly basis?	NA	
	108	What is the maintenance and condition of the machinery? Is there a log sheet hanging on each machine with its repair or maintenance records?	NA	
K2	**Incoming Material: Upper Materials, Outsoles, Trims & Accessories**			
	201	Are incoming materials stored in a controlled area to avoid tampering, theft, damage, dirty, etc.? Are the materials stored customer wise, size wise, batch wise and wise with identification tags? Check this physically to ensure it is done.	NA	
	202	Are incoming materials (upper materials, trims, outsoles & accessories) checked against a purchase order and specifications with customer's approved sample through defined quality checking process (such as color, thickness, texture, hand feel, weight and other physical properties)? Does the factory have documented processes for reviewing product and packaging material?	NA	
	203	Is traceability available from source of raw material and components thru finished product? Is the traceability system periodically tested to assure accuracy and effectiveness?	NA	
	204	Does records of non-conforming materials, components and products exist?	NA	
	205	Does the non-conforming material system allow for operators to identify and flag defective goods on the line?	NA	

	206	Does each roll of upper materials carry a tag to demonstrate the information of shade lot? Check a few of bundle tags/ labels for the dye lot, swatches in the warehouse to verify this.	NA	
	207	Does factory have a light box and dark room or an area surrounded by curtain? Does light source meet customer's requirements (primary light source D65, second light source TL84) & have regular calibration record at yearly basis?	NA	
	208	Does factory conduct testing on the incoming materials? Including colorfastness, color migration, flexing and peeling strength?	NA	
	209	Does factory maintain color swatches to identify and separate the number of shade lots/shades?	NA	
	210	Are all the materials placed on racks/shelves or pallets?	NA	
	211	Are the materials dispatched based on first in first out policy?	NA	
K3	**Sharp Tools Control Management**			
	301	Are all sharp tools/equipment properly secured to the work station?	NA	
	302	Are broken needle records kept in a detailed manner?	NA	
	303	Does the factory assign article numbers to each sharp tool?	NA	
	304	Does the factory have sharp tools "in & out" records to keep track?	NA	
	305	Does the factory remove all the needles in the sewing machines lying idle?	NA	
	306	Does the factory organize routine checks on each sewing machine and its drawer for extra sewing needles kept by the workers?	NA	
	307	Does the factory have a needle "in & out" record?	NA	
	308	Does the factory have a plan to handle an incident of missing needles or sharp tools?	NA	
	309	Does the factory have authorized personnel to keep the needles and sharp tools?	NA	
	310	If part of a broken needle or a sharp tool cannot be retrieved, does the factory conduct 100% check by hand?	NA	
K4	**Cutting, Stitching, Lasting, Packaging**			
	401	Does a documented process and records exist for the factory to compare first production articles (FR) to client approval sample and specifications?	NA	
	402	Before making cutting dies, will the factory technicians double check the paper pattern for each style? Will the factory technicians perform trial production for each new style?	NA	
	403	Is cutting room kept clean and cutting machines maintained in good working condition, free from excessive dust, dirt and contamination? Materials and cutting pieces must not be directly placed on ground.	NA	
	404	Is there any procedures in place to ensure that white and light color materials and uppers must be kept separately from dark color materials?	NA	
	405	Is there any fabric relaxing process in place (esp. for mesh/stretchy fabric) and is the relevant date, time clearly labeled and followed before spreading and cutting?	NA	

	406	Are there documented process controls for the factory to check cutting board maintenance? Is the minimum thickness 15mm ? Is the minimum hardness 50 (Shore “D”)?Is the allowable cutting time control?	NA	
	407	Is the cutting dies stored in a proper way to keep the blades sharp and intact?	NA	
	408	Is the number of layers of materials reasonable to ensure clear cut in the process?	NA	
	409	Is there a checking process on accuracy of cut panels and is it traceable?	NA	
	410	Does the factory identify upper panels with clear numbers according to shade lots and sizes?	NA	
	411	Is the material inspected in sufficient light to check quality before/after cutting?	NA	
	412	Is an identified approval sample available with relevant working instructions in stitching section?	NA	
	413	Does factory have standard procedures and controls to ensure that materials received for bulk production are checked for basic properties e.g. strength, color matched to body, tear strength and flexing endurance, workmanship etc.?	NA	
	414	Is there a process to ensure the upper material is in correct cutting direction, texture, hand feel and thickness?	NA	
	415	Is each sewing machine checked in the line e.g. tension, strength, minimum extension, stitch density, appearance? If yes, by whom and How many times per day?	NA	
	416	Do all workers have the approved written procedures or SOP explaining the upper stitching sequence required for each style? Are the sewing machines properly set & in line with work instruction sheet?	NA	
	417	Is 100% of products inspected for visual defects under sufficient lighting after stitching and is there checking procedures for basic measurements and components? Is there relevant CAP for any finding during inspection/checking? Pls. provide inspection reports, CAP and specify sampling size of measurement checking.	NA	
	418	Are the chemicals inventoried and their storage properly managed to prevent aging and decomposing before use?	NA	
	419	Are the chemicals properly managed to prevent production hazard to the workers? Is the chemical storage room separate from the production shop? Is relevant MSDS displayed in the room?	NA	
	420	Sole/heel quality checked by whom (QC, QA or assigned workers), and report to whom, any standard procedure and reporting format?	NA	
	421	Are there documented process controls for the factory to control time limitation for outsole or midsole before primer and cement?	NA	
	422	Is the upper/counter molding operation correct or toe box/chemical sheet properly placed and activated?	NA	
	423	Is the toe lasting, side lasting and back heel seat operation correct?	NA	
	424	Is the strobel stitching operation correct?	NA	
	425	Is the gauge marking operation correct to ensure accurately transfer the position of the biteline to the lasted upper?	NA	
	426	Are there documented process controls for QC to spot check the upper and sole surface to ensure it is buffed completely, effectively, evenly?	NA	
	427	Are there documented process controls for QC to spot check whether the workers brush the premier/glue on the material surface evenly?	NA	

	428	Are there documented process controls for the QC to spot check the non-woven fabric filler or other fillers or stell shank placed properly?	NA	
	429	Are products given adequate time to dry after cementing and cleaning and before outsole attachment?	NA	
	430	Are there documented process controls for QC to spot check the sole to ensure it is attached to the upper properly?	NA	
	431	Are there documented process controls for the factory to check the press strength and time to ensure it is set properly to meet bonding adhesive requirements validate whether the sole is pressed evenly, effectively?	NA	
	432	Are there documented process controls for the factory to control the pot life for primer and cement?	NA	
	433	Are there documented process controls for cementing brush time constraint?	NA	
	434	Are products given accurate time and temperature to cool through the cooling chamber?	NA	
	435	Is the speed of the conveyor belt reasonably set and the oven temperature under the supervision of factory management and QC team?	NA	
	436	Is there pairing procedure in place?	NA	
	437	Does factory have label distribution records e.g. for main label, care label,….etc.? Are left-over labels cleaned up and returned?	NA	
	438	Are the price tickets, swing tags kept by separately size and color wise to avoid mix-up?	NA	
	439	Is there effective 100% check after repair of shoes? Is the mending and checking done separately by different workers?	NA	
	440	Are inspected, uninspected, repaired and defective products clearly separated and identified?	NA	
	441	Are the finished shoes clearly labeled by style and size, stored and maintained in undamaged condition with no sharp edges, bent or distorted section and used effectively?	NA	
	442	Are products clearly sorted by style, color and size after and during tagging & packing? Are finished goods and/or their packaging properly marked to allow identification and traceability?	NA	
	443	Are there 100% inspection on finished shoes? Please provide inspection reports.	NA	
	444	Is there an independent warehouse equipped with lock for finished goods? Is there any security policy in place?	NA	
	445	Does the factory have a documented Production Test Plan(s) (PTP)?	NA	
	446	Is the PTP appropriate for the product and processes involved?	NA	
	447	Are there records to support the PTP is being executed as documented?	NA	
	448	Is there a documented process to randomly select finished footwear for an internal bonding test and/or heel attachment test on a daily basis?	NA	
	449	Are there roving QCs on staff? Please provide their relevant inspection reports.	NA	
K5	**Anti-Mildew Measures**			
	501	Is the material warehouse set up with dehumidifiers? Is the number of dehumidifier good enough to remove excess moisture in the warehouse?	NA	
	502	Is the material warehouse set up with a moisture meter to monitor the ambient Relative Humidity?	NA	

	503	Does the material warehouse have the moisture content detector?	NA	
	504	Does factory turn on the dehumidifiers when the Relative Humidity is over 60%?	NA	
	505	Is the factory set up with a daily log of Relative Humidity to monitor the daily ambient moisture condition?	NA	
	506	Does the factory have a calibration process during production periods? How regularly does factory calibrate oven temperature? Are relevant reports and specimens available?	NA	
	507	Does the factory request operators to demonstrate the calibration process, and assess if it is being performed correctly?	NA	
	508	Is the factory equipped with UV Light treatment for the shoes?	NA	
	509	Does the factory switch on the UV Lights during production?	NA	
	510	Are the cartons of finished shoes a minimum of 30 cms away from the building's external wall?	NA	
	511	Is the cooling cabinet set at the appropriate temperature to ensure proper shape/fit of material to last without the occurrence of condensation?	NA	
	512	Is fungicide or anti-mold spray applied correctly?	NA	
	513	Are the conveyor belts kept clean and dry?	NA	
	514	Micro-pak sticker, as the final production step, must be placed in the inside of the box in the prescribed location after Footwear have passed through heat oven. Has this been completed?	NA	
	515	In the packing process, shoebox surface and carton surface moisture needs to be lower than 12%?	NA	
K6	**Inspection Process**			
	601	Is there any quality inspection process in place for outsourcing production (e.g. beads sewing, bow attachment hand & machine embroidery.....etc.)? And with records maintained? The records should include in-out time, in-out quantity & quality check result against approved sample.	NA	
	602	Are in line inspections (including workmanship and measurement checking) carried out and documented by an independent QC team?	NA	
	603	Does the factory perform Final Random Inspections (FRI) to a standard AQL or acceptable statistical quality level?	NA	
	604	Is the factory clear about what AQL sampling plan is used for final inspections?	NA	
	605	Are final inspections carried out and documented on all production batches? Does the final inspection include measurements, workmanship, labels, packing….etc.? Is there relevant CAP for any finding during inspection?	NA	
	606	Does QC inspector have full instructions/approved sample during inspection?	NA	
	607	Does the factory have data analysis process for defects found by inline inspection, end of line inspection & final inspection? Is relevant Corrective Action provided and followed up? Does have meeting every week?	NA	
		Total Possible Score = **0** **Total Achieved Score =**	**0**	

Photo

Description: The organization’s name plate

Description: The address plate

Description: Front gate

Description: Incoming material storage area

Description: QC area

Description: Accepted raw material storage area

Description: Non-conforming storage area

Description: Testing area (Include IPQC)

Description: Packing area

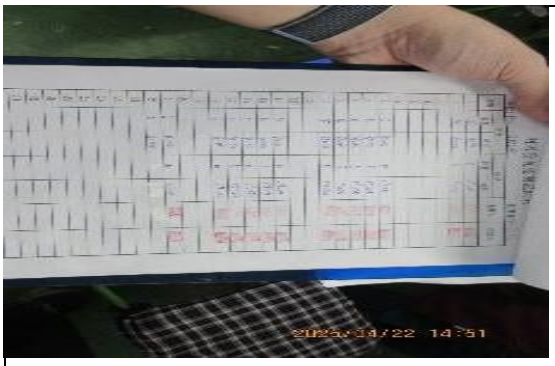
Description: Warehouse storage

Description: Shipping area

Description: Works Department, Maintenance Department

Description: Manufacturing area - Injection

Description: Welding area



Description: Hot stamping area

Description: Sharp objects management table

Description: Calibration label

Description: In-process label

Description: WI

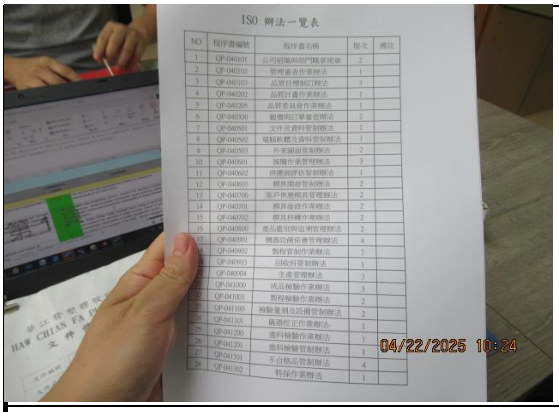
Description: Pest management facilities

Description: Mould storage rack

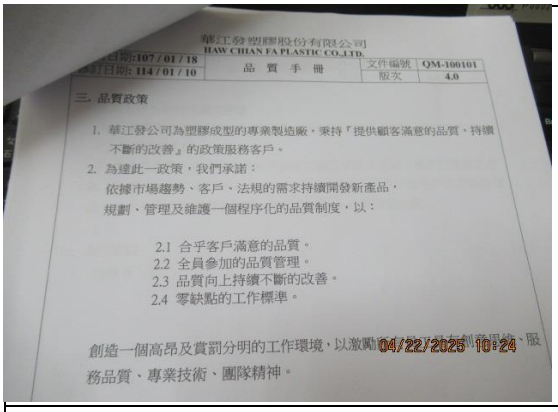
Description: The first batch of mass production and standard products

Description: ISO 9001:2015 certificate

Description: Quality manual



Description: Quality procedure list



Description: Quality policy

Description: NG- The floor of the manufacturing area is damaged.	Description: NG- Molds stacking were found in the engineering and manufacturing areas.
Description:	Description:
Description:	Description:
Description:	Description:

Description:	Description:

Scoring Guideline:

0 -- Nothing has been done; no policy/procedure, no implementation , no record, no awareness at all etc.
1 -- Non-compliance
2 -- Meet basic requirement which is acceptable but with minor defect ;
3 -- Fully compliance

Grading	0	1	2	3
Guideline	**Nothing has been done** or considered as **Major failure.**	**Not acceptable** **EG.** Has done something but not sufficiently implemented or without positive evidence to show the compliance. **NC should be raised.**	**Minor defect but acceptable** **EG.** 1.Documented procedures are available and implemented accordingly; 2.Records kept systematically as defined; 3.Management system was maintained with effective evidence and no negative evidence was identified.(Normally, if system is implemented effectively, this mark should be given.)	**Meet the requirement** **EG.** 1.Documented procedures are available and implemented accordingly; 2.Records are kept well as defined; 3.Improve continuously, data analysis are conducted and records are kept; 4.Relevant employees have good understanding communication; 5.Action has taken such as management tools are used.