# Factory Quality Audit Tool
## Amazon Private Brand Supplier Quality Management

**Audit Basic Information:**

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| Audit Number: | A-00004366 | Audit Requester : | PoojaSri Ravichandran | Business Model: | Licensing |
| Auditor Name: | Felix Yu | | | Product Line: | HL |
| Auditor Organization: | TUV | Audit Type: | New FQA Audit | Factory Contact Name: | Mr. Gan |
| Oversea Auditor Name: | | Audit Occurrence: | Re-audit | Factory Contact email: | 1208362002@qq.com |
| Aduit Start Date: | 3/30/2021 MM/DD/YYYY | Cost Center: | 6014-C for EU 3P OTS | Vendor Contact Name: | Yang wenyan |
| Audit Manday: | 1.00 | QM Product Line Owner: | Bao Kong | Vendor Contact email: | 329657651@qq.com |
| Sourced Products: | soap mold, silicone bowl, Reusable Straws | | | Vendor Name: | dongguanshi youfan dianzishangwu youxiangongsi |
| Factory Name (EN): | Dongguan Invotive Plasitc Product Co.,Ltd | | | Factory Name (CN): | 东莞市英尚硅胶制品有限公司 |
| Factory Address (EN): | No. 10 Changhong Road, Zhangkeng Industrial Area, West side | | | Factory Address (CN): | 东莞市横沥镇西城张坑工业区昌鸿路第十栋 |

| Overall 70.87% |
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| Qualified |
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**Factory Capability Evaluation Summary**

Put a "x" in one of the rating columns for each element, to give your evaluation rating to that element, by comparing its level in the industry benchmark.

| No. | Elements | Evaluation Ratings | | | | | Comments |
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| | | Good | Average | Marginal | Not Acceptable | Weight | |
| 1 | Management organization | | X | | | 4 | The factory defined the organization structure, covering development, purchasing department, QC etc., but quality management seemed only relating to QC. |
| 2 | Workforce and capacity | | X | | | 3 | About 60 employees, overall had sufficient workforce and capacity, but had 10% employees turn over rate. |
| 3 | Product / Pkg Development | | | X | | 4 | One engineer for new product development, understood some compliance requirements like LFGB/EN71, but did not systemically identify requirement of children product. |
| 4 | Experiences in the category | | X | | | 8 | The factory was established in 2015, most products were exported abroad, but did not well arrange the supplier management. |
| 5 | Production / Mfg Capability | | X | | | 8 | Over 35000 pcs per day. The main production process in the factory covered stirring (silica gel refining), forming (vulcanization), trimming, packaging, not use too much auto machine. |
| 6 | Material Control (incl. regulatory req.) | | | X | | 4 | The factory did not well arrange the supplier management, and did not well conduct the IQC. They conducted the warehouse environment control according to procedure requirement. |
| 7 | Quality Functions | | X | | | 4 | 1 IQC (QA manager concurrently as IQC), 4 IPQC. Inspection focused on the appearance, dimension etc. Continuous improvement was not conducted well. |
| 8 | In-house Test Capability (Product) | | | X | | 5 | The factory had some test equipment covering appearance (light box), tensile strength tester, hardness tester and limited simulation test like microwave test. No temperature impact, durability, hazardous substance test equipment etc. |
| 9 | In-house Test Capability (Package) | | | X | | 2 | The factory did not have drop test equipment and simulated transportation test equipment, only performed a simple manual drop test, or sent the product to a third party for test after the customer requested. |
| 10 | Communication | | X | | | 3 | Factory's merchandising team could communicate with customers in English via emails, product developer's English was not very good. No ERP system was used. |

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| No. | | Questions(问题点) | Weight Factor (from 1 to 5, for levels of importance) | Fully Comply (完全符合) | Majority Comply(大多数符合) | Partially Comply (部分符合) | A Few Rough Works(一点简单的工作) | Not At All (完全没有) | N/A (不相关) | Comments(意见/发现) | Score (分数) | Adjust AvailableScore (调整后分数) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Quality Management System Audit Checklist (质量体系审核清单) | | | | | | | | |
| | | | | 4 | 3 | 2 | 1 | 0 | X | | | |
| **Section 1: Factory Facilities & Environment(第一部分:工厂设施和环境)** | | | | | | | | | | | | |
| 1.1 | | Does factory look **clean, organized, and secured** in: production lines, storage of materials and products, rework / repair areas, inspection, and packing areas? Is the overall production process flow organized in an efficient way? (工厂整体是否干净, 整洁，安全: 包括生产线,原料仓和成品仓, 重工返修区,检查和包装区? 总体的生产流程设置高效？) | 3 | | X | | | | | The factory looked clean and tidy, but a few finished products were put on the ground and stored in temporary area. Final product warehouse was not controlled with access authority. | 9.00 | |
| 1.2 | CCP | Does factory have the **right facilities** (incl. production equipment, tooling) **for manufacturing of the products being sourced**? Are the maintenances / status of the facililities look good? (工厂是否有合适的设施(包括生产机器和工装用具)用于生产所采购产品？这些设施的维护保养是否在好的状态?) | 4 | | X | | | | | The factory had main equipment like mixing and refining machines and molding machines. Most looked good and worked normally. | 12.00 | |
| 1.3 | | Does factory have and maintain **sanitation and/or pest controls** in certain production workshops and / or warehouses, as necessary, to ensure products' quality and compliance? (必要时,工厂是否在特定的生产车间和仓库设立并执行卫生及虫害防治, 以确保产品质量和合规？) | 3 | | X | | | | | The factory had closed workshop with air conditioner. Fly killers were available at some workshops. Most workers wore the hat and masks. Hand washing and sterilization was a must before entering in workshop, but seemed it was not conducted well. | 9.00 | |
| | | **Section Summary Line:** | Available Score: | | 40 | Total Compliance Percentage: | | | | **75.00%** | 30.00 | 0 |
| **Section 2: Quality System, Documentation Control, Training(第二部分:质量体系, 文件管理, 培训)** | | | | | | | | | | | | |
| 2.1 | | Does factory have a documented **quality manual** to define the factory's quality policy, quality objectives, organization, roles and responsibilities in quality management, and, outline the high level quality operations? Have the quality manual contents been clearly **communicated and understood** by factory's management staff? (工厂是否有文件化的质量手册去确定工厂的质量方针, 质量目标,组织结构及质量管理的权责，并且概述出质量运作要求, 并且质量手册的相关内容在内部进行充分的沟通并被管理层理解) | 2 | | | X | | | | The factory defined the quality manual, and the manual covered quality objective etc., from the interview, somebody did not clearly know the content, e.g. QA supervisor. **(The comment in blue font is the finding raised in previous audit on 21 December, 2020.)**<br><br>The factory obtained ISO 9001:2015 certificate. It defined quality policy and objectives in quality manual. Some quality objectives like in-process NC rate was not understood by management. Policy and objectives were not displayed onsite to communicate with its employees. | 4.00 | |
| 2.2 | | Does factory have documented **operation procedures and necessary work instructions** to guide people to operate consistently and effectively achieve results as expected, and the procedures and work instructions have been **communicated and understood** by related employees? (工厂是否有文件化的操作指引和必要的工作指引去指导员工一致性操作并有效地达到期望的结果, 并且程序和工作指引被相关员工充分了解) | 4 | | X | | | | | The factory prepared the WI for all key process like molding, mixing & refining, packaging process. The operators most understood the documented requirement. During the visit, WI for packaging for P.O. SEORD004913 was not available onsite. | 12.00 | |
| 2.3 | | Does factory **control documents** properly, i.e. review and approval, distribution, change control, etc.? The controlled documents should include external standard documents, and technical documents like spec., drawing, BOM, standard samples, etc.. (工厂是否正确地进行文件控制,像文件审核,批准,分发,变更控制等?受控文件应该包括外部标准文件; 内部规格,图纸,物料清单,标准样板等技术文件) | 3 | | X | | | | | The engineering department and QA department controlled document's distribution. Correct document was used by relevant person. Draft recipe of rubber was kept by refining machine operators. | 9.00 | |
| 2.4 | | Does factory clearly define **quality records needs** in various quality operations, and the **retention** time of those records? (工厂是否清晰的规定了哪些质量控制位需要质量记录以及记录的保存时间) | 2 | | X | | | | | The factory had a records management program, that all records should be kept for more than 1 year, but somebody did not clearly know the requirement, e.g. developer. | 6.00 | |

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| **2.5** | Does factory **properly keep** the quality records, that includes identification, keeping in rigth environment, easy retrieval of records, etc.? (工厂是否正确地保存质量记录,包括标识,保存环境以及易于取得等) | 2 | | | X | | | | The factory provided some QC records, but from the sample, some IQC, most development records were not provided.<br><br>Quality records were kept by users. But some records were not kept, e.g. the first article inspection report for product of P.O. SEORD004913 on 30 March 2021. | 4.00 | |
| **2.6 CCP** | Does factory have an **independent Quality Department**, with QA/QC personnel authorized to inspect products and materials, and take necessary actions to assure quality? (工厂是否有独立的质量部门, 有授权的QA/QC人员检验产品和原料,并采取必要的质量保证措施.) | 5 | | X | | | | | Only one person for incoming inspection and final inspection in Quality department. There were 4 IPQC who came from production workshop although they reported quality issues to quality department for disposal. | 15.00 | |
| **2.7** | Does factory have a well planned and implemented **training program for workforces and QA/QC personnel,** that includes training of product knowledge, production processes, inspection & testing, and, right operations of production, testing, and measuring equipment in production and in-house lab? (工厂是否很好地规划和执行全体员工及QA/QC人员培训体系,内容包括 产品知识,生产流程,检查和测试,正确的操作生产线和实验室的生产,计量和测试等设备) | 3 | | X | | | | | The factory defined the annual training plan, covering QMS, new employee training etc. But the training programme did not well reflect the request of position. | 9.00 | |
| **2.8** | Do factory's on-job production and QA/QC personnel have **adequate knowledge** of quality requirements for the product categories being sourced, relevant materials, and the production processes? (工厂员工和QA/QC人员对相关产品,原料的质量要求以及生产流程是否有足够的知识) | 4 | | | X | | | | The workers and QC had necessary knowledge for quality inspection and basic skills of production, but developer and purchaser did not know the compliance requirement and external standard/law.<br><br>Kept previous comment. | 8.00 | |
| | **Section Summary Line:** | Available Score: | | 100 | Total Compliance Percentage: | | | | **67.00%** | 67.00 | 0 |
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| **Section 3: Product Development Control (第三部分: 产品设计开发控制)** | | | | | | | | | | | |
| **3.1** | Does factory have **right knowledge, experiences** and competent engineers / technicians to develop the type of products being sourced? (工厂是否有具备正确的知识,经验和能胜任的工程师/技术员去开发客户需要的产品) | 5 | | X | | | | | There was 1 developer and 4 mold makers at the factory to conduct the new product development according to sales/ customer and developer experience, understood some compliance requirement e.g. LFGB, but did not systemically identify applicable requirement for children's product. | 15.00 | |
| **3.2** | Does factory have a process to **review with customers to define product requirements**, that should include certain spec., product performance, safety, durability, etc. for product development? (工厂是否有相应的流程规定在确定产品要求前先和客户充分沟通,沟通开发过程中的产品标准,表现,安全,可靠性等) | 4 | | | X | | | | The factory communicated the product requirement with the customer by the email, covering appearance, size, function etc., but did not well document the development input, did not cover product test standard, compliance requirement.<br><br>Product requirement focusing on product construction was provided by its client through sample and drawing. The engineer had a simple review process for appearance/ hardness/ construction, but did not cover the durability, performance, simulated user's operation etc. | 8.00 | |
| **3.3** | Does factory have **product development plans** to outline product development stages, covering development of product (construction, functions, materials etc.), prototype / sample making, review / verification arrangement for the product developed, etc.? Does factory conduct necessary reviews, verifications at various stages of product development according to the plan? (工厂是否有详细的开发计划去定义好以下开发进程, 包括产品结构/功能, 需要的物料, 手板样本制作, 产品设计的审核/确认等? 工厂是否按产品开发计划安排了必要的产品开发检讨, 验证?) | 5 | | X | | | | | The factory did not well document the development records, did not well retain the development record, only had some basic sample delivery date. There was no detail plan for the development.<br><br>Each model development needed maximum 1 month. The factory had a simple development plan with completion date, but missing the deadline. | 15.00 | |

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| **3.4** | Does factory's product development **output** right / updated product spec., drawings, and/or samples, to provide data, requirements, and instructions for production, purchasing, and quality controls? (工厂设计开发阶段是否有以下输出:正确的产品规格,图纸,样板,并为生产,采购,质量控制 提供相应的资料，要求，和指引.) | 5 | | | X | | | | The development output covered mold, standard sample etc., but did not cover product test requirement, compliance requirement etc., and the factory did not well document the development output.<br><br>Kept previous comment. | 10.00 | |
| **3.5** | Does factory have competent engineer / technician, and a process in place to **develop**, **review / verify package** construction which is sufficient to protect the type of products? (工厂是否有能胜任的工程师/技术员,及相关工作流程去开发,审核/确认产品包装结构) | 4 | | X | | | | | Packaging development was outsourced to materials supplier as per client's requirement. Packaging materials needed to be reviewed by sales. Approved sample was kept. | 12.00 | |
| **3.6** | Does factory have in-house capability to **develop, review / verify User Manual, Assembly Instruction, etc.** for the type of products? (工厂是否有能力自己开发,审核/确认用户手册,装配说明书等). | 3 | | | | | | X | NA, simple product, no need assembly etc., no user manual and instruction. | | 12 |
| **3.7 CCP** | Does factory conduct **right and complete tests** (incl. submission to 3rd party test) to verify that **final product complies** to the customer's and regulatory requirements before release for production? (在量产前,工厂是否进行正确的产品测试(或第三方测试)去确认产品对于客户要求和法规要求的符合性) | 5 | | | X | | | | The factory claimed that QC conducted the inspection for the new sample, covering appearance, size etc., but did not provide any verification records. After customer request, the factory sent product to 3rd party for testing, and provided some 3rd party reports, focus on 'food contact' requirement, but no physics performance test report.<br><br>The factory did not clearly define internal test plan for durability, performance and simulated operation by user, did not provide test records for dimension and hardness (sample: KD005 product). | 10.00 | |
| **3.8** | Does factory hold **Pre-Production Meeting** to communicate product quality requirements to production teams before mass production starts? (在量产前,工厂是否举行产前会议交接产品质量要求给生产部门) | 4 | | X | | | | | For products with special requirements, before mass production, the production/quality/developer discussed the details of the production of the product, but they did not well retain the PP-meeting records.<br><br>The factory kept PPM records. Most issues were followed and resolved before mass production. | 12.00 | |
| **3.9** | Does factory have a process to **control** (evaluate, approve, communicate) **changes** to product / package after product / package has been approved, that includes communicating the changes to customer's approval? (工厂是否有相应的流程去管控产品/包装工程变更, 包括通知客户并得到客户的批准) | 5 | | X | | | | | The factory provided some ECN records, but verification process for change related to function/performance etc. was not defined clearly. | 15.00 | |
| **Section Summary Line:** | | Available Score: | | 160 | Total Compliance Percentage: | | | | **65.54%** | 97.00 | 12 |

**Section 4: Purchasing Control & Materials Control (第四部分: 采购控制和原材料(外包)控制)**

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| **4.1** | Does factory have a method / process to **evaluate and select its suppliers** (incl. subcontractors) based on their abilities to meet quality and on-time delivery requirements?<br>(工厂是否有建立评估和选择供应商(包括分包商)的流程, 基于供应商满足质量和准时交货要求的能力) | 3 | | X | | | | | The purchaser did not clearly know the content of the supplier control procedure, they evaluated the supplier according to experience, covering supplier scale evaluation, material sample evaluation etc. The factory only provided some supplier information survey form, did not provide on-site evaluation records and material approval records.<br><br>There were total 18 suppliers shown in the approved supplier list, but missing supplier Dongguang Shenlibao. New supplier Daxin was evaluated onsite on 26 Feb 2021, but they did not identify the improvement chance in audit and there was only scoring & conclusion in the evaluation report. The factory stated key suppliers would be evaluated onsite annually, but did not establish the onsite evaluation plan in 2021. | 9.00 | |
| **4.2** | Does factory have a mechanism to **measure suppliers' quality performances** to ensure right suppliers are being used to consistently supply right quality materials / components?<br>(工厂是否有评估供应商质量水平的机制去保证正确的供应商稳定地提供正确的物料/零件.) | 3 | | | X | | | | The purchaser did not clearly know the content of the supplier control procedure. The factory provided the records of quarterly evaluation of qualified suppliers (base on quality, delivery etc.), but the evaluation data were inconsistent with actual status.<br><br>Supplier's performance was measured every three months. But the factory did not measure the performance for partial suppliers like Xindongfang. Evaluator did not explain the scoring standard of performance evaluation. | 6.00 | |
| **4.3** | Does factory have a method / process to **evaluate and approve the materials / components** before purchase? (在采购之前工厂是否有方法/流程去评估和确定原材料/零件) | 5 | | | X | | | | The QC evaluated/ approved the new material, and the factory retained some martial samples, but did not well manage the material sample, no sample tracking list, labels, or update date etc., and did not well document the material approval records.<br><br>Kept previous comment. | 10.00 | |
| **4.4** | Does factory clearly **communicate quality requirements** to its suppliers **when purchase** materials or **outsource** any production processes?<br>(当采购原物料或者外购任何半成品时工厂是否清晰的与供应商沟通其质量要求). | 3 | | X | | | | | The factory defined some quality requirement of material with the supplier in the purchase order and contact, covering appearance, delivery time and some compliance requirements, e.g. FDA, LFGB etc., but did not well communicate the function/performance/reliability requirement of materials with its suppliers. | 9.00 | |
| **4.5** | Does factory clearly **define inspection** and testing requirements for **incoming** materials / components, that should include sampling plan, inspection / test items, acceptance criteria?<br>(工厂是否清晰地定义原材料和零件的检验和测试要求, 包括抽样计划,检验/测试内容,收货标准等) | 3 | | X | | | | | The factory had two versions of IQC inspection specifications, one sampling plan was G II AQL=0,0.65, 1.5, covering detail inspection item and inspection method, no law standard (GB2828 or MIL-STD-105E), the other was AQL=1, with general inspection requirement. From the interview, the IQC/ QA manager could not explain QC WI clearly.<br><br>The factory defined inspection standard for different materials. Sampling plan and AQL GII, AQL 0/0.65/1.0 was defined. Inspection items mainly included appearance, weight and dimension etc. Compliance and performance test report from its supplier needed to be checked. | 9.00 | |

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| **4.6** CCP | Does factory **conduct inspection / tests for incoming materials / compoents** according to the defined requirements, documented drawing / spec., product requirements, reference samples, and certain inspection / testing work instructions? Are IQC records kept?<br>(工厂是否按照定义的要求进行原物料/零件的检验/测试, 定义的要求包括受控的图纸/标准, 产品要求, 客户样板, 以及检验/测试指导书等? 有保留IQC记录吗? ) | 5 | | | X | | | | The QA manager claimed that they conducted the IQC according to the WI and their experience, and provided some IQC records, with simple confirmation, no detail inspection item, values etc. From the sample, some IQC records were not provided, e.g. PO20201114678 2020,12.16, 2020.12.19 etc.<br><br>The IQC did not perform well as per defined inspections standard, e.g. not record sampling size, not test hardness of silicon sample from supplier and incorrect records about AQL (sample: 2170 silicon material on 24 March 2021). | 10.00 | |
| **4.7** | Does factory clearly **identify inspection status** for incoming goods, separate the goods that passed inspection, not inspected, failed inspection, so as to prevent unintended uses?<br>(工厂是否清晰地定义来料的检验状态, 正确区分出检验合格, 待检验, 检验不合格, 避免混用和非预期使用) | 2 | | X | | | | | The factory used the label to identify the material inspection status, with QC marking, a few materials like carton etc. were not identified by label etc. | 6.00 | |
| **4.8** | Does factory clearly **define and implement** processes / authorities for **disposition of nonconforming** incoming goods, that could be RTV, rework & reinspect, approved concession? Are disposition records kept? (工厂是否清晰地定义并执行来料不良品处理的流程/权限, 可能是退货, 重工, 重检验, 批准豁免. 有保留不合格品处理的记录吗? ) | 4 | | X | | | | | The factory clearly defined the nonconforming material handling procedure. The NC disposal report was provided, but not 100% reports were kept. | 12.00 | |
| **4.9** | Does factory **store the materials and components** in areas / warehouses with appropriate environment, stack and rotate stocks **properly**, like FIFO (First In First Out) to prevent materials / components from deterioration or over stock due date?<br>(工厂的原物料/零件仓是否有合适的储存环境,正确的储存和周转, 执行先进先出避免原物料/零件劣化或过期) | 3 | | X | | | | | The factory defined storage condition for silicon rubber materials and monitored temperature and humidity in its warehouse. The warehouse staff had a basic awareness to control FIFO. Most materials just matched the client's order. Sticker storage condition was not controlled well. | 9.00 | |
| **4.10** | Does factory **identify products / materials** properly with models, item #, receiving dates, etc., and, separate materials for specific markets, e.g.: CARB P2 for USA, REACH for EU, **to prevent unintended use** of wrong quality materials / products? And the identifications facilitate traceability?<br>(工厂是否用型号, 物料编号, 来料日期等正确地识别物料/产品, 包括区分不同目标市场物料, 比 如区分CARB, REACH 物料, 以避免非预期使用错误的物料/产品? 标识能提供追溯性? ) | 4 | | X | | | | | The factory used the label to identify the material/ component, the label's information covered purchase order, production date, name etc., but a few materials like cartons and color boxes etc. did not have the label. | 12.00 | |
| **4.11** | Does factory **handle, transport** materials, components and WIPs appropriately to prevent products from damages, scratches, etc.? (工厂是否正确地处理,运送相关原料,零件和半成品而避免损坏和刮花等) | 3 | | X | | | | | During audit, no damage was found in the factory. Some materials were stored in temporary tents and had narrow space for storing. | 9.00 | |
| | **Section Summary Line:** | Available Score: | | 152 | Total Compliance Percentage: | | | | **66.45%** | 101.00 | 0 |

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| **Section 5: Production and In-process Quality Control (General Part) (第五部分: 生产和过程质量控制)** | | | | | | | | | | | |
| **5.1** | Does factory **plan productions** properly for customers' orders, by considering purchasing and production lead time, workforces, available capacity, etc., and have means to manage productions in peak seasons? Does factory maintain a good record of **on-time delivery**?<br>(工厂能否基于工厂的采购及生产周期，人力和产能，合理按客户订单安排生产，并有能力在高峰期管理好生产？工厂是否保持良好的（90%）准时交货率？) | 3 | | X | | | | | The production supervisor organized the production based on historic production capacity data. OTD was about 90% in past three months. | 9.00 | |
| **5.2** | Does factory **plan its manufacturing processes** for types of products with consideration of risks and necessary controls (e.g.: from PFMEA outputs), to outline process steps (incl. outsourced ones), identifying key areas of risks, define process requirements and execute quality controls, to effectively **eliminate risks to quality of products** in the productions? Are there validation for special processes (processes can't be verified by subsequest inspection or non-desctructive testing)?<br>(工厂是否考虑风险及控制的要求（比如，依据"制程失效模式分析"的输出结果）来规划生产制程（包括外发制程），对识别出来的制程关键质量控制点安排和执行有效的控制，以消除生产中导致产品质量问题的风险。特殊过程（无法被后续工序检验，或需要破坏性测试来检验的工序）是否经过验证? | 5 | | X | | | | | The factory defined the PFMEA and quality control plan, but during audit, PFMEA and quality control plan was not issued to correct people, e.g. the QC did not clearly know it. In fact, QC/operators performed risk control based on experience and supervisor's requirements.<br><br>The factory had basic awareness to identify the risk of manufacturing process. If there was CTQ, it would be highlighted in SOP. | 15.00 | |

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| **5.3** | Does factory **arrange manufacturing processes according to the plans**, with right allocation of material / component, equipment, work forces, in-process inspection / tests, etc. for the type of products? (工厂是否正确地安排生产, 恰当地分配物料/零件,设备,人力, 过程检验/测试等) | 4 | | X | | | | | The manufacturing process went smoothly. General production process for different product. The factory arranged production as per defined SOP and production order sheet. And arranged some IPQC and supervisor's in-process inspection to ensure product quality, with simple inspection records. | 12.00 | |
| **5.4** | Does factory prepare and provide **necessary work instructions**, reference samples, etc. with defined working methods, quality acceptance criteria, and/or defects classifications, at certain workstations for production or inspection use? (工厂是否准备好必要的工作指引,参考样板等, 在确定的工位有已经定义好的工作方法, 质量接收标准, 以及不良分类等支持生产和检验. | 3 | | X | | | | | The factory prepared the WI for all key process like mixing, molding and packaging. Defect classification standard and its sample was displayed onsite. During the visit, no packaging instruction for a few product was available. | 9.00 | |
| **5.5** | Does factory's Production / QC inspect and sign off the **first articles** of WIPs and finished products at appropriate process steps to ensure that they meet the requirements with regard to specification, quality & safety? (工厂生产/QC是否在过程和成品阶段审核及签发首件来保证产品满足规格, 质量及安全方面的要求.) | 4 | | X | | | | | The factory inspected first article for most key process and kept the pass label with QC signature. During the visit, found the first article inspection report for product of P.O. SEORD004913 on 30 March 2021 was not kept | 12.00 | |
| **5.6** | Does factory use appropriate **jigs / fixtures** as necessary to control consistency of positions, directions, level, gaps etc. in relevant production processes? (在相关的生产制程,工厂是否应用适当的工装夹具控制位置,方向,水平面,缝隙的一致性) | 3 | | | | | | X | NA, only mold, no jigs. | | 12 |
| **5.7** | Does factory **control process parameters** (like: temperature, humidity, speed, torque, pressure, drying time, etc.) in production to ensure product quality is achieved and consistent? (工厂是否控制关键制程参数(温度,湿度,速度,扭力,压力,时间等) 来确保质量的达成及一致) | 4 | X | | | | | | The factory clearly defined the temperature, time etc. for the molding process. The parameter was monitored by IPQC every four hours. | 16.00 | |
| **5.8** | Does factory production **select right quality materials / components**, and/or **control recycle materials** ratio (e.g.: plastic injection materials) for production use, to ensure the outcome products having right quality? (工厂是否选择正确的原料/零件,以及控制再生料的比率(注塑塑胶料),以达到产品质量) | 3 | X | | | | | | The factory checked the materials as per SOP in main process like mixing, molding etc. | 12.00 | |
| **5.9** | Does factory production always **apply sufficient auxiliary materials** (like glue, paint), and use proper production **reference samples (like color panels)** to control production consistency, ensure product construction integrity and finish conformity? (工厂是否经常应用 足够的辅助物料(胶水,颜料), 并且应用适当的参考样板(色版) 去控制生产过程, 以达到产品结构和成品的符合性) | 3 | | X | | | | | The factory used color panels and applicable approved sample for reference, but the approved samples were not regularly updated. | 9.00 | |
| **5.10** | Does factory plan and conduct **production equipment maintenances** properly, to ensure precision and good conditions of the production equipment? (工厂是否适当策划和执行生产设备保养, 以确保生产设备的精确度和好的状态) | 3 | | X | | | | | The factory defined the equipment maintenance plan for most equipment like mixing machine, molding machines, and regular maintenance was performed by operator and production line leader. | 9.00 | |
| **5.11** | Does the factory clearly **identify** products / components in production, **segregate and isolate non-compliant materials and products** in all areas to prevent unintended use? (工厂是否在生产过程中，清晰地标识产品和零件，及将合规的产品/材料与非合规的产品/材料隔离开，以防止它们的误用? | 3 | X | | | | | | The factory used the labels and special container to identify and separate NC semi-finished product and components etc. | 12.00 | |
| **5.12** | Does factory have method to **control and prevent** risks of physical, chemical and biological (such as: molds, needles, RoHS/non-RoHS materials) **contaminations** in the production processes that may damage the products and/or personnel? (工厂是否有方法控制和预防 生产制程中物理,化学及生物污染等可能造成产品/人员的损坏, (比如, 发霉，断针，RoHS和非RoHS物料混用) | 5 | | X | | | | | No product damage was found on site. Most products would be cleaned before package. A few scissors were not tied well. | 15.00 | |
| **5.13** | Does factory define, communicate, and correctly follow the **package** requirements (package materials, package method, labeling, packing list, etc.) in production? (生产中工厂是否定义,沟通并且正确地遵照包装要求(包装材料,包装方法,标签,包装清单等) | 3 | | X | | | | | The factory conducted the packaging according to general WI and production order. During the visit, WI for packaging for P.O. SEORD004913 was not available onsite. | 9.00 | |

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| **5.14** | Does factory clearly **define in-process inspections**, include inspection needs at various stages, frequency / sampling plan, inspection and testing methods, equipment to use, quality requirements and acceptance criteria, etc.? (工厂是否清晰地定义过程检验,包括检验点,检验频率/抽样计划,检验和测试方法, 检验仪器, 质量要求及接收标准) | 4 | | X | | | | | The in-process inspections standard covered inspection item and acceptance criteria, covering appearance, size, hardness, the sampling plan was 10pcs/ 4hour. It's better to cover each mold when inspected the WIPs in molding process. | 12.00 | |
| **5.15** | Does factory **conduct in-process inspections** according to the defined requirements, at appropriate stations, against the defined product spec., drawing, sample, etc.? (工厂是否按照确定的要求进行过程检验, 包括检验点,确定的产品规格,图纸,样板等) | 5 | | X | | | | | The factory claimed that QC conducted the IPQC according to the WI and QC experience, covering appearance, size, etc. During audit, the IPQC did not clearly know the QC WI content, and the factory did not record the IPQC record in time, it was not possible to confirm whether QC had performed inspections in accordance with IPQC.<br><br>The IPQCs conducted in-process inspections every four hours as per defined inspection standard, but they were not very familiar with the requirement for tolerance of dimension. | 15.00 | |
| **5.16** | Does factory **record** inspection results and findings, feedback / review with productions as appropriate?(工厂是否记录检验结果和发现,并恰当地向生产部门反馈) | 3 | | X | | | | | During audit, the factory provided some IPQC records, with simple confirmation, no detail inspection values, did not provide the IPQC records on the audit day. When quality problems were found, they gave oral feedback to relevant personnel.<br><br>The inspection records with simple result were kept. NC rate was not calculated. | 9.00 | |
| **5.17** | Does factory clearly **identify inspection status** of products in production lines, segregate nonconforming products properly? (工厂是否清晰地识别产品的检验状态, 正确地区分出不合格品) | 2 | | X | | | | | During the audit, non-conforming products were marked and isolated by labels, but inspection status of some products in trimming process was not clearly identified. | 6.00 | |
| **5.18** | Does factory **define and implement** processes / authorities for **disposition of nonconforming** products in productions, that could be rework & reinspect, approved concession, etc.? (工厂是否定义和执行不良品处理流程和权限, 可能包括重工,重检,批准豁免) | 4 | | X | | | | | Scrap, re-inspection was authorized by IPQC or quality manager. Rework and reinspection process was not clearly recorded. | 12.00 | |
| | **Section Summary Line:** | Available Score: | | 256 | Total Compliance Percentage: | | | | **79.10%** | 193.00 | 12 |

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| **Section 6: Final Inspection &Test (第六部分:最终成品检查及测试)** | | | | | | | | | | | |
| **6.1** | Does factory clearly define **inspection requirements for the finished products**, especially for critical features like, construction, performances, safety and serviceability, etc., and, define the inspection sampling plan, acceptance criteria? (工厂是否清晰地定义成品的检验要求, 特别是结构,表现,耐用, 安全和适用性等, 定义检验抽样计划和接收标准) | 3 | | | X | | | | FQC/OQC inspection specification covered sampling plan: GB2828 II 0,0.65,1.5, covering appearance, size, hardness etc., but did not cover durability, food contact, compliance requirement etc.<br><br>Kept previous comment. | 6.00 | |
| **6.2** | Does factory train its QA/QCs to clearly **understand quality requirements for the final products, and understand inspection processes** (i.e.: inspection and test items / needs, methods & tooling, frequencies / sampling plan, acceptance criteria, etc.)? (工厂是否培训QA/QC人员理解产品和检验的质量要求(检验和测试项目,方法,测试设备,频率,抽样计划,接收准则等) | 4 | | X | | | | | The FQC/OQC knew some FQC/OQC inspection requirements, covering appearance, size, hardness etc., but did not cover durability, food contact, compliance requirement etc.<br><br>There was one FQC in factory, basically understood the inspection standard including sampling plan and AQL. During the visit, no final inspection was observed. | 12.00 | |

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| **6.3 CCP** | Does factory **conduct final inspections** according to the defined process, against relevant drawings / specifications, product requirements, reference samples, and conduct adequate **tests** to verify products' safety, fit for use, durability, etc.? (工厂是否按照定义好的流程进行终检,<br>依据相关的图纸 / 规格,特殊产品要求,参考样板,并进行足够的测试去验证产品的安全性,使用功能,耐用性等) | 5 | | | X | | | | The factory conducted the FQC/OQC according to the inspection specification, covering appearance, size, hardness etc., but did not cover durability, food contact, compliance requirement etc.<br><br>The factory conducted final inspection focusing on the appearance/dimension/weight/packaging method etc. as per defined inspection standard. If requested by its client, microwave operation performance was inspected. The factory stated some ORT tests like high/low temperature impact would be conducted by third party lab regularly. | 10.00 | |
| **6.4** | Does factory **record** final inspection results and findings, feedback / review with productions for corrective actions / improvement opportunties?<br>(工厂是否记录终检结果和发现,并反馈给生产部门作为纠正和改善机会) | 3 | | X | | | | | The factory provided some FQC/OQC records, but from the sample, some OQC/FQC records were not provided, e.g. PO. 2020.12.18, PO. 2020.12.14 etc.<br><br>The factory kept necessary final inspection report with simple result and conclusion. Re/AC should be shown in the report. Detailed dimension should be recorded. | 9.00 | |
| **6.5** | Does factory clearly **identify inspection status** of final products, segregate nonconforming products properly? (工厂是否清晰地识别检验产品的状态, 隔离出不良品) | 2 | | X | | | | | Qualified products could be stored in the finished product warehouse, and the inspection status was identified with the qualify labels. Most products had the labels. | 6.00 | |
| **6.6 CCP** | Does factory define and implement a process, with necessary authorities, to **make dispositions for the inspection failed products**, dispositions could be: rework and re-inspection, accept on deviation, etc., and, communicate to customer's approval?<br>(工厂是否有定义和执行不良品处理流程, 可能包括重工,重检,接收差异等, 并且得到客户的批准) | 5 | | X | | | | | Waive, scrap, re-inspection were authorized by FQC and QC supervisor, simple non-conforming records were recorded at FQC report. Reinspection was conducted as per normal sampling plan and AQL. | 15.00 | |
| **6.7** | Does factory have a correct shipping operation process in place to control that **products are NOT shipped until they have passed final inspection**?<br>(工厂是否有正确的出货流程,确保产品通过终检合格后才能出货) | 4 | | X | | | | | The factory had a procedure to control shipping process, Only passed-inspection products were placed in the warehouse, and OQC checked order information before shipment. During the visit, a few final products were placed at the temporary area. | 12.00 | |
| | **Section Summary Line:** | Available Score: | | 104 | Total Compliance Percentage: | | | | **67.31%** | 70.00 | 0 |

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| **Section 7: Control of Measuring and Testing Equipment (第七部分:计量和测试设备的控制)** | | | | | | | | | | | |
| **7.1** | Does factory have **right measuring and testing equipment (with right scale and range)** used in inspections and tests for incoming goods, products in production processes, and final products? Does factory maintain these measuring / test equipment always in a **good / usable condition**?<br>(工厂是否有合适的设备（合适的刻度和量程）进行原材料、制程及成品的检验和测试，并保养测量仪器、测量/测试设备以确保它们在好的可用的状态？) | 4 | | X | | | | | Most of the measuring tools in the factory looked good and all of them were calibrated. One electronic balance missed the calibration status label. | 12.00 | |
| **7.2** | Does factory have a **master list and calibration plan** for the measuring and test equipment that are used in production, inspections for receiving goods, in-process & final inspection and test operations?<br>(工厂是否有测量/测试设备清单和校正计划, 包括生产使用/来料检验/过程检验/产品<br>终检以及 测试阶段的测量测试设备) | 3 | | X | | | | | The factory defined the calibration plan, but it did not cover lots measuring tools, e.g. lots of electronic scales.<br><br>Total 10 testing and measuring equipment like electronic balance, hardness tester were shown in the master list, but missing a few equipment like 2D tester. | 9.00 | |

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| **7.3** | Does factory arrange **calibrations** for all measuring and test equipment at appropriate intervals to ensure the equipment are suitable and accurate to measure and verify products' acceptance, and the calibrations are traceable to national / international standards?<br>(工厂是否在恰当时间间隔安排测量/测试设备的校正,以保证设备恰当和精确地验证产品,且相关校正追溯国家/国际标准) | 5 | | | X | | | | The factory calibrated most of the measuring tools, but lots of measuring tools were not calibrated, e.g. electronic scales.<br><br>Most measuring and testing equipment were calibrated annually. But the 2D tester and tensile strength tester were not calibrated. | 10.00 | |
| **7.4** | Does factory **record, identify calibrations**, define and implement a procedure to **recall** products when equipment is found not in calibration status? (工厂是否记录,识别校正结果, 并有定义召回流程,<br>以在发现测量/测试设备失准时对其检验过的产品执行召回.) | 3 | | | X | | | | The factory did not identify the calibration report, only the quality manager knew the specific processing method after the measurement equipment failed, other QC did not know the processing method.<br><br>The factory did not establish a process to dispose the situation when equipment was found not in calibration status. | 6.00 | |
| | **Section Summary Line:** | Available Score: | | 60 | Total Compliance Percentage: | | | | **61.67%** | 37.00 | 0 |

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| **Section 8: CAP, Crisis Mgt, and Continuous Improvement (第八部分:改正措施计划和持续改善)** | | | | | | | | | | | |
| **8.1** | Does factory have a **CAP process**, that should define conditions to initiate CAP, and CAP work flow that should include containment, causes investigation, corrective actions to eliminate causes and prevent recurrence, and follow up / verify effectiveness?<br>(工厂是否有纠正和预防措施流程,应该包括什么情况发行CAP,CAP流程应该包括围堵措施,原因调查,消除原因的纠正措施和预防措施,以及跟进/确认有效性). | 3 | | X | | | | | The factory had a CAP program file, and the quality manager understood the CAP process, but IPQC did not know when need to initiate CAP for high NC rate of WIPs. | 9.00 | |
| **8.2** | Does factory have a method to review and respond to **customer complaints / returns / claims** that includes customer's inspection / testing fails, and, the factory investigates causes, takes necessary corrective actions to prevent recurrence? (工厂是否有流程回复客户<br>抱怨/退货/投诉(包括客户检验和测试不良， 工厂是否调查原因,执行必要的纠正预防措施防止再次发生) | 4 | | X | | | | | The factory had a customer complaint track list, and provided the customer complaint report. From the report, the factory analysed the root cause, took the corrective and preventive actions, but the preventive action was too general. | 12.00 | |
| **8.3** | Does factory take necessary corrective actions to fix problems with its suppliers, production processes, etc., when there are **significant quality issues** happening with materials / components from its suppliers, in factory's productions, or, with its final products, etc.?<br>(当生产中或供应商产品有重大质量问题时工厂是否执行或要求必要的纠正预防措施) | 4 | | | X | | | | The factory provided some corrective actions, covering IQC, IPQC etc., but form the sample, the preventive action was too general to conduct.<br><br>The factory initiated some CAPs in production process, materials inspection process, but did not analyze root cause and did not well take corrective actions to prevent re-occurrence, e.g. poor printing for carton of P.O.SEORD004723. | 8.00 | |
| **8.4** | Does factory collect **quality data and analyze data** with certain quality analysis tools, so as to precisely identify quality problems and improvement opportunities? Does factory **initiate corrective actions and/or quality improvement projects** based on quality data analysis?<br>(工厂是否有一些必要的质量数据收集和分析，以准确的识别质量问题和改善机会? 工厂是否基于质量<br>数据分析而启动一些纠正预防措施或质量改善项目 ) | 3 | | | X | | | | The factory collected the monthly quality data before July 2020, but did not analyse the data, and did not conduct the corrective action and preventive actions based on data analysis.<br><br>The factory analyzed the NC data from main production process like molding process, but did not initiate CAP when there was high NC rate. | 6.00 | |

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| **8.5** | Does the factory conduct **internal audits** for its quality management according to internal procedures? Are the audit results captured and **CAPA** (Corrective Action and Preventive Action) porperly executed and documented?<br>(工厂是否对内部质量管理进行内审, 并记录内审发现的问题, 执行纠正预防措施并记录?) | 4 | | | X | | | | The factory conducted the internal audit every year, the last internal audit was conducted on 2 August 2020. The factory provided the internal audit records, and all CAPs had been closed, but some non-conforming items were still found in this review, e.g. QC records were not well retained.<br><br>Kept previous comment. New internal audit had not been performed since last audit. | 8.00 | |
| **8.6** | Does the factory have a process in place to **manage various crisis situations**, such as breakdown of production equipment or lines, fire and evacuation of the facility, major supplier bankruptcy, strike?<br>(工厂是否有方法有效管理各种危机, 比如, 生产设备, 生产线故障, 火灾及工厂疏散,<br>主要供应商破产, 罢工, 等等? ) | 3 | | X | | | | | According to different crises, the factory had a clear management process. Although the management could not clearly explain all the crisis response plans, they understood the basic crisis management processes, such as fire and factory evacuation, so far, no accidents had occurred in the factory; | 9.00 | |
| | **Section Summary Line:** | Available Score: | | 84 | Total Compliance Percentage: | | | | **61.90%** | 52.00 | 0 |

**Category** **Food Contact**

| No. | Questions(问题点) | Weight Factor (from 1 to 5, for | Product Specific checklist (产品特性关键点审核清单) Fully Comply(完 4 | Majority Comply(大 3 | Partially Comply(部 2 | A Few Rough 1 | Not At All(完全没 0 | N/A (不相关) X | Comments(意见/发现) | Score (分数) | Full Score (满分) |
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| 1 CCP | Does the factory familiar with the requirements regarding to food grade products, does factory evaluated relavant risk assessment and established a valid "food grade " control program? are there implement the program effective, are the records kept well for traceable?<br>工厂是否清楚食品级产品的管控要求，是否进行相应的风险评估并建立有效的食品级过程管控程序?<br>工厂是否按照程序进行有效管控并保存好相应的记录以便追溯? | 5 | | X | | | | | The factory understood basic requirement about food contact product like LFGB. Basic hygiene condition was defined in the SOP. | 15 | 20 |
| 2 | Does the factory establish and maintain an effective "PREREQUISITE PROGRAMS" such as cross contamination, pest control, personal hygiene etc.<br>工厂是否建立并维护一个有效的"前提方案"，如交叉污染、虫害控制、个人卫生等。 | 4 | | X | | | | | The factory had closed workshop with air conditioner. Fly killers were available at some workshops. Most workers wore the hat and masks. Hand washing and sterilization was a must before entering in workshop, but seemed it was not conducted well. | 12 | 16 |
| 3 CCP | Whether the products manufactured by the factory have obtained relevant food level certification or testing, such as QS certification of China, FDA certification of US, EC/1935/2004 certification of EU, LFGB certification of DE, etc.<br>工厂生产的产品是否取得了相关的食品级认证或测试，如中国的QS认证，美国的FDA认证，欧盟的EC/1935/2004认证，德国的LFGB认证等。 | 5 | | X | | | | | The factory provided LFGB or FDA report for products when requested by its client. | 15 | 20 |
| 4 CCP | Are raw materials, chemicals involved in the process in line with the food grade materials, and related test reports or certification obtained, such as FDA, MSDS? (The materials that are contacted with food usually include metal, plastic, silicone rubber, coating, glass, ceramics, wood, paper and so on.) 工厂采购的原料、辅料及制程中所涉及的化学品是否符合<br>食品级用料，从供应商端获取相关的测试报告或认证证书,如FDA、MSDS.（和食品接触的材料通常包括金属、塑料、硅橡胶、涂层、玻璃、陶瓷、木材、纸张等)? | 5 | X | | | | | | The factory requested LFGB report for the silicone raw materials and pigment etc. from its supplier, and established a ledger to trace the reports. Normally, the reports needed to be updated annually or provided when requested by its client. | 20 | 20 |
| 5 | Does material mixing instruction and ratio available for operators? Does the operator follow the instruction strictly? Are the the additives in accordance with the food grade production requirements. (If applicable.)<br>混料过程的作业指导书及配方是否在现场，是否按照指导书的规定进行配料及混料，<br>添加剂是否符合食品级生产需求。(如适用) | 4 | | X | | | | | The factory implemented material mixing as per recipe standard. But the standard was drafted by technician. | 12 | 16 |
| 6 | Is the line changing process controlled to prevent cross contamination?<br>Are machines clean and regularly maintained meet food grade production requirement?<br>换线过程是否受控以防止交叉污染? 机器是否按符合食品级生产要求进行清洁和定期保养? | 4 | X | | | | | | When the production line was changed, the different products were separated, and all the products were cleaned and dewaxed. They used alcohol to clean the flow lines and equipment. | 16 | 16 |
| 7 | Are semi-finished products in the production process protected effectively, such as sealed storage, UV sterilization? (If applicable.)<br>生产过程中的半成品存储是否得到有效防护，如密封存放、紫外杀菌等? (如适用) | 4 | | X | | | | | Most semi-finished products were stored in plastic container with film covering. | 12 | 16 |
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| **Section Summary Line :-** | | Total Available S | | | ***Total Compliance Percentage:*** | | | | **82.26%** | | 102 | 124 |

| Category | Children's Product | Weight Factor (from 1 to 5, for | Product Specific checklist (产品特性关键点审核清单) | | | | | | | Score (分数) | Full Score (满分) |
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| | | | Fully Comply(完 | Majority Comply(大 | Partially Comply(部 | A Few Rough | Not At All(完全没 | N/A (不相关) | Comments(意见/发现) | | |
| No. | Questions(问题点) | | 4 | 3 | 2 | 1 | 0 | X | | | |
| 1 CCP | Does the factory collect and understand relevant laws and test standards for children's products, such as: Chinese standard e.g. GB 28007, American standard e.g. 16 CFR 1213, ASTM F 2613, European standard e.g. EN 71-3, etc.; Are their product certificate?<br>工厂是否收集和了解儿童的相关法律规及测试标准，例如：中国标GB 28007，美标16 CFR 1213，ASTM F 2613，欧标EN 71-3 等等；工厂是否对产品进行相应的认证测试? | 5 | | X | | | | | The factory did not collect the children product test standard, they controlled the product development, test according to customer requirement, or sent to 3r party for testing. The factory provided some LFGB test reports. Although the product was soft, the factory did not analyse the requirements related to children's products.<br><br>The factory collected some standard about children's product like EN71, ASTM F 963, CPSIA etc. The factory would cooperate with third party lab to systemically collect legal requirement in different markets. | 15 | 20 |
| 2 | Does the factory establish and implement the documented sharp tool control procedure (written instructions / detailed records of issuing & recalling for daily use) effectively? If sharp tools used in production adequately controlled?(such as scissors, knives, blades, broken glasses and needles etc.) Are the records completely and traceable?<br>工厂是否有效建立并执行文件化的利器管理流程(书面的工作指引/详细的每天的收发记录), 是否所有利器都被有效的管控？(比如剪刀，美工刀，刀片，碎玻璃以及车针等)，记录是否完整且便于追溯? | 5 | X | | | | | | The factory had the sharp tool control procedure, and controlled the sharp tool (main scissors for trimming) according to the procedure. Receiving and releasing records for scissors were kept. | 20 | 20 |
| 3 | Does factory implements a effective broken needle control process? if there any potential risk for unwanted sharp object, broken needle etc. which may mixed to products on site?<br>工厂执行了有效的断针管控程序，现场是否有断针或尖锐物混入产品的风险? | 5 | | | | | | X | NA, no needle. | | |
| 4 | Does the inspection and testing of finished products cover the screw torque force test? (Production: control the torque of screwdriver when assembling; Rework: control the size of screw, as slipped screws will result in small parts concern.)<br>成品的检查测试是否包含螺钉的扭力测试(生产中定义并管控螺丝批的装配扭力, 重工中管控螺丝的规格,避免导致小物件不良) | 5 | | | | | | X | NA, the product was silicone product, no screw. | | |
| 5 | Does the inspection and testing of finished products cover the sharp point / sharp edge after drop test, torque test, pressure test, pull test, small parts test, etc.?<br>成品是否针对跌落之后的尖点,利边,以及 扭力,压力，拉力，小物件等测试 | 5 | | | | | | X | NA, the product was silicone product, the product was soft. | | |
| 6 CCP | Does the product design of the factory complies with relevant regulations, including size, structure, safety, etc., to ensure that the product has no sharp protrusion, no sharp edges, safe structure, suitable gap size, reasonable and safe ventilation in the enclosed space, and suitable materials; Does the production of the factory is strictly in accordance with the design and model, pay attention to and control the tip of the product, sharp edges, tips, gaps, etc.;<br>工厂的产品设计是否符合相关法规要求，包括尺寸，结构，安全等，以保证产品无尖锐突出，无锋利边缘，结构安全，缝隙大小合适，封闭空间透气合理/安全，选材合适;<br>工厂的生产是否严格按照设计和样板执行，注意并控制了产品的尖端凸起，锋利边，尖端，缝隙等; | 5 | | X | | | | | From the development 3D drawings, all products did not have sharp point, edge etc., but the development input and output did not clearly refer to related external standard/law. | 15 | 20 |

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| **7** | Does the factory conducts regular product testing, including samples, finished product testing, testing to meet the test standards of children's products in the corresponding market, such as: edge and tip testing, pinching test, shear and squeeze point test, folding test, stability test, door / flap test, Close test, durability test, etc.;<br>工厂是否定期进行产品测试，包括样品，成品的测试，测试符合相应市场儿童产品的测试标准，例如：边缘及尖端测试，孔及间隙测试，剪切和挤压点测试，折叠测试，稳定性测试，翻门/翻板测试，关闭测试，耐用性测试等； | 5 | | X | | | | | The product was soft. The factory conducted the full appearance inspection for the finished product before packaging, covering sharp edge, point, etc., and conducted the hardness test for semi-finished product, conducted function test for development sample, but did not regularly conduct the durability test (Weather resistance test/high and low temperature test etc.).<br><br>If requested by its client, the safety test for new product was conducted by third party. In general, the final product would be tested annually according to EN71/ASTM 963/LFGB/FDA standard etc. They provided some test reports about EN71/ASTM F963 and LFGB/FDA. The factory established ORT plan for durability through simulated user's operation. | 15 | 20 |
| **8** | Does the factory ensure warning label is correct and complete, for example: "Warning! Message pinch" in the folded position, the font size meets the requirements;<br>工厂产品警告标识是否正确，齐全，例如：折叠位置的"警告！消息夹伤"，字体大小符合要求； | 4 | | | | | | X | NA, the product was silicone product, the product was soft. | | |
| **9** | Does the instructions for the factory product indicate the age range of the product, as well as the precautions for the installation by the adult and the distance from the child;<br>工厂产品的说明书是否注明产品适用年龄段， 以及由成人安装，儿童远离等注意事项； | 4 | | | | | | X | NA, simple product, no instruction. | | |
| **10** | Are the chemicals (such as painting etc.) in the warehouse with expired date management, and rotated according to a FIFO system?<br>相关化学原料(如油漆等)是否定义有效期的管理,并且遵循先进先出. | 4 | | | | | | X | NA, no chemical material in the factory (glue, paint, ink etc.). | | |
| **11** | For children's plastic products:(针对儿童塑胶产品)<br>Is an impact test conducted on injection parts? And if fitment test conducted so as to match the assembly?<br>Is the percentage of recycled plastic material to be used for plastic material injection adequately controlled (written criteria and records)?<br>针对注塑件是否有做冲击测试？是否做实配测试验证不同塑件的配合性。<br>是否水口料的比例被有效的控制（水口料比例定义及混料记录） | 5 | | | | | | X | NA, the product was silicone product, not plastic product. | | |
| **12 CCP** | For children's wooden products:(针对儿童木制产品)<br>Does factory request for CARB P2 certificate for composite wood materials (MDF, PB , plywood, etc.), and test report for chemical materials like painting materials, glues, etc. from its suppliers, to prove the materials comply to regulatory requirements?<br>对于合成板材(MDF,PB,Plywood 等）工厂是否要求供应商提供CARB P2/EPA认证，并且针对一些化学原料像喷涂油漆,溶剂,胶水等要求相关测试报告,<br>以证明物料符合法律法规等要求. | 5 | | | | | | X | NA, not wood product. | | |
| **13** | For electrical children's product:(针对儿童电子产品)<br>Does the product have a self-turn-off function?<br>Is turn off current / operation current / stand-by current testing conducted and do the results meet the planned criteria?<br>产品是否具有自动关闭功能?<br>工厂是否做诸如关掉电流/操作电流/备用电流等测试且对应结果能符合标准. | 5 | | | | | | X | NA, not electrical product. | | |
| **14** | For Children's soft goods:(针对儿童毛绒产品)<br>Does the stuffing material pass the hygiene test against industrial or international standards?<br>Is seam strength testing for the sewing process (including the sewing label, accessories etc.) conducted?<br>填充物料是否通过了卫生健康方面的测试,<br>是否车缝部位有做缝接强度测试（包括车缝标签,装饰小配件等) | 5 | | | | | | X | NA, not soft goods. | | |

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| **15** | For Children's soft goods:(针对儿童毛绒产品)<br>If the product has an eyeball or similar accessories, does it pass the pull force test?<br>针对一些有眼睛,鼻子等类似配件的毛绒产品,是否能通过拉力测试? | 5 | | | | | | X | NA, no soft goods. | | |
| **16** | For Children's soft goods:(针对儿童纺织品)<br>Are sewing needles (including manual sewing needle, swift tag gun needle, etc.) used in production adequately controlled (written instructions and records to register them)? If factory do full metal detection for all products before which transferred to secured area? Is the calibration of needle detectors conducted and recorded?<br>是否车缝用针（包括手缝针， 吊牌枪针等）有被足够管控(书面指引已经登记记录)?<br>工厂是否在将产品移动到无金属区域前有做100%验针? 对验针机的校准是否有执行并记录? | 5 | | | | | | X | NA, no needle. | | |
| **17 CCP** | For Children's furniture:(针对儿童家具)<br>Does the raw materials purchased by the factory meet the environmental protection and fire resistance requirements of children's furniture, whether the material compliance report is complete, and whether IQC defines and implements the inspection requirements for children's furniture materials;<br>工厂采购的原料是否符合儿童家具环保和耐火要求，物料的合规性报告是否齐全，IQC是否定义和执行儿童家具物料检验要求; | 5 | | | | | | X | NA, not furniture. | | |
| **18** | | | | | | | | | | | |
| **19** | | | | | | | | | | | |
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| | **Section Summary Line :-** | Total Available S | | | ***Total Compliance Percentage:*** | | | | **81.25%** | 65 | 80 |