



BV GENERIC FA 1 MD CHECKLIST

[REDACTED]

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Performance Overview

Audit Details

BV Ref:	101 [REDACTED]
Auditor:	[REDACTED] WANG
Audit Date:	[REDACTED], 2013
Date of Previous Audit:	NIL
Previous Audit #:	NIL
Vendor Name:	T [REDACTED] U [REDACTED] TD
Factory Name:	Q [REDACTED] O., LTD
Address:	Zhon [REDACTED] [REDACTED] hina 3 [REDACTED]
E-Mail Address:	[REDACTED]
Tel:	86-5 [REDACTED] Fax: 86-5 [REDACTED]
Country:	CHINA

Scope of Audit

Mixing, moulding, spray painting and packing of fibre clay planter

Audit Category

Fibre clay planter - Product Category A

Key Personnel

Name	Job Title	Present at Audit (please tick 'X' below)			
		Opening Meeting	On-site Audit	Documentation Review	Closing Meeting
Mr. [REDACTED]	Plant Manager	X	X	X	X
Mr. [REDACTED]	QA Supervisor	X	X	X	X
Ms. [REDACTED]	Administration Supervisor	X			X

Audit Results

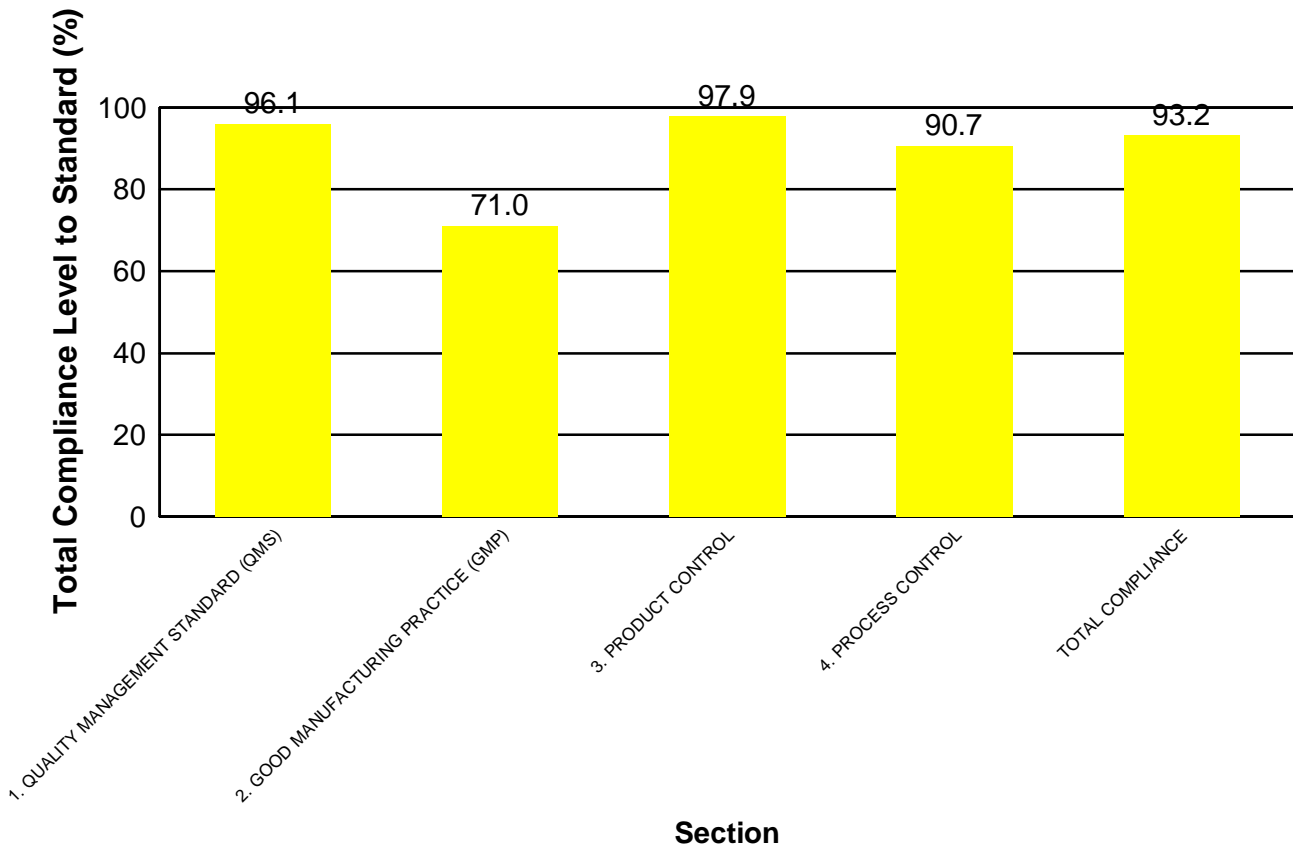
Total Compliance Level to Standard	Non Conformance(s)			Risk Level for Supply	Follow-up frequency
	Critical(s)	Major(s)	Minor(s)		
93.23%	0	0	13	YELLOW	24 MONTH FOLLOW-UP

Company Profile

- ~Factory established: April 22, 2008
- ~Main manufacturing processes: Mixing, Moulding, Spray painting, Packing
- ~Product category: Fibre clay planter
- ~Factory area: 10,000 square meters
- ~Employee number: 60 employees
- ~Production capacity: 20,000 pieces per month.
- ~International certification: ISO9001: 2008 (Certification body: EACC, Certification number: USA11Q22051R0S, Certification date: September 08, 2011, Valid until: September 07, 2014)
- ~Peak season: No obviously
- ~Major market: UK, US, Gemmany
- ~Major customer: [REDACTED] (20%), [REDACTED] group (10%), N [REDACTED] (5%)
- ~No product liability insurance and product recall insurance were purchased.
- ~Working days: 5 days a week, Monday to Friday.
- ~Work schedule: 8 hours a shift, (8:00-12:00; 14:00-18:00).

Analysis of Site Compliance

Audit Score Overview



NB: Total Compliance Color reflects "Risk level for supply"

Degree of compliance Overview (per section)

Section	Green	Yellow	Orange	Red	N/A	Total Questions
1. Quality Management Standard (Qms)	19 (70.37%)	2 (7.41%)	0 (0.00%)	0 (0.00%)	6 (22.22%)	27
2. Good Manufacturing Practice (Gmp)	11 (64.71%)	6 (35.29%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	17
3. Product Control	18 (72.00%)	1 (4.00%)	0 (0.00%)	0 (0.00%)	6 (24.00%)	25
4. Process Control	18 (81.82%)	4 (18.18%)	0 (0.00%)	0 (0.00%)	0 (0.00%)	22
OVERALL	66 (72.53%)	13 (14.29%)	0 (0.00%)	0 (0.00%)	12	91 (100%)

Audit Findings Summary Critical Non-conformance Section

Clause No.	Clause Requirement	Levels of Non-Conformance	Audit Findings
NIL			













Please submit a corrective action plan within 14 days after the audit for the nonconformance's mentioned in the above and underneath sections.

Audit Findings Summary

Clause No.	Clause Requirement	Levels of Non-Conformance	Audit Findings
1	QUALITY MANAGEMENT STANDARD (QMS)		
1.3.1	Raw materials (including packaging), work in progress and finished products shall be identified to ensure traceability.	Minor (YELLOW)	Identification procedure was established, and most raw materials, semi-finished products and finished products were found properly identified with sufficient information to ensure traceability, but it was noted that some MGO materials in raw materials warehouse, some semi-finished products in moulding workshop were not identified to ensure traceability.
1.4.1	An effective documented Product Recall procedure shall be in place. The procedure shall be appropriate, formalized and be capable of being operated at any time and will take into account stock requisition, logistics, recovery, storage and disposal.	Minor (YELLOW)	Documented product recall procedure was established but it was not periodically tested to ensure it could be operated at any time.
2	GOOD MANUFACTURING PRACTICE (GMP)		
2.1.1	Building exterior and interior shall be maintained in good conditions to prevent product contamination.	Minor (YELLOW)	During this audit, it was noted that some glass windows were broken in moulding workshop.
2.4.3	The safety or legality of products are not jeopardised during maintenance operations.	Minor (YELLOW)	Maintenance program was established, but no a requirement was established to ensure that the safety or legality of products were not jeopardized during maintenance operation.
2.6.1	No evidence of employee wearing jewellery, watches, other potentially contaminating apparel (check company's policy) observed.	Minor (YELLOW)	Health and personal hygiene standard was established in the factory, but it was noted that some workers in moulding workshop wore jewellery, such as necklace, and watches when working.
2.8.1	Where there is a risk of contamination, light bulbs and strip lights, including those on electric fly killer units, shall be protected by shatterproof plastic diffusers or sleeve covers or product adequately protected.	Minor (YELLOW)	The glass control procedure was defined in the factory, anti-explosive lightings were installed in warehouses, but all light bulbs and strip lights in production and packing areas were not protected by shatterproof plastic diffusers or sleeve covers.
2.8.2	Where there is a risk of contamination, glass windows shall be protected against breakage or product adequately protected.	Minor (YELLOW)	All glass windows were not properly protected in the factory.
2.8.3	Records for any maintenance, breakage, or corrective actions shall be completed and maintained on file.	Minor (YELLOW)	No record was available for glass maintenance, breakage, and corrective actions in the factory.
3	PRODUCT CONTROL		
3.7.1	The company shall establish procedures for the identification, segregation, investigation and disposition of non-conforming raw materials (including packaging), work-in-progress and finished products.	Minor (YELLOW)	Non-conforming products handling procedure was established, and most non-conforming materials and products were properly identified and segregated, but it was noted that some non-conforming semi-finished products in semi-finished products warehouse were not properly identified and segregated.
4	PROCESS CONTROL		
4.3.1	Working aids (data sheets, working instructions, and templates, etc) shall be installed on working areas and utilised by the operators.	Minor (YELLOW)	Work instructions were properly established for all processes, and provided in most working areas to give employees as guideline, but it was noted that no work instruction was provided in

			materials mixing area.
4.3.4	A duplicate of an approved production sample with comments shall be provided and in use for all necessary operations as reference for operators.	Minor (YELLOW)	First article inspection was conducted, but no approved sample was provided on site during this audit.
4.7.2	Measuring and monitoring equipment is routinely calibrated to recognised national standards.	Minor (YELLOW)	Calibration program and schedule were established, most inspection and testing equipment were properly calibrated, but it was noted that one set electronic balance used in raw materials warehouse was not calibrated.
4.7.3	Records of equipment calibration and re-calibration are maintained.	Minor (YELLOW)	Calibration records for most inspection and testing equipment were properly maintained, but no calibration record was maintained for the electronic balance used in raw materials warehouse due to no calibration.

Digital Photo Records

 <p>A photograph of a factory building with a sign that has been redacted with a black box. The sign also features the word 'DECOR'.</p>	 <p>A photograph showing the exterior of a factory building with a closed metal gate in the foreground.</p>	 <p>A photograph of a single, light-colored, cylindrical ceramic or stone product, possibly a planter or a decorative pot.</p>
(1) Factory name	(2) Factory exterior view	(3) Product for Client
 <p>A photograph of a large warehouse filled with numerous bags of raw materials, likely cement or sand, stacked on pallets.</p>	 <p>A photograph of a warehouse area with many wooden pallets stacked in neat rows.</p>	 <p>A photograph of a large warehouse with rows of semi-finished products, possibly ceramic tiles or bricks, stacked on pallets.</p>
(4) Raw materials warehouse	(5) Accessories warehouse	(6) Semi-finished products warehouse
 <p>A photograph of a warehouse aisle with finished goods, including large rolls of material, stacked on both sides.</p>	 <p>A photograph of a materials mixing area with a large industrial mixer and various bags of material.</p>	 <p>A photograph of a busy moulding workshop with several workers and large pieces of machinery.</p>
(7) Finished goods warehouse	(8) Materials mixing area (No work instruction)	(9) Moulding workshop
 <p>A photograph of a spray painting workshop with several large, cylindrical objects being prepared.</p>	 <p>A photograph of a long packing area with rows of finished products, possibly tiles, stacked on pallets.</p>	 <p>A photograph of a large sheet of paper with handwritten work instructions and a grid, pinned to a wall.</p>
(10) Spray painting workshop	(11) Packing area	(12) Work instruction on site



(13) IQC area



(14) IPQC area



(15) FQC area



(16) Sharp tool fastened to the workbench



(17) MGO materials not identified in raw materials warehouse



(18) Semi-finished products not identified in moulding workshop



(19) Broken glass window in moulding workshop



(20) Non-conforming semi-finished products not properly identified and segregated in semi-finished products warehouse



(21) Electronic balance not calibrated in raw materials warehouse

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