# Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment

Version No.: 06 7-Mar-18

## Audit Details

| | | | |
|---|---|---|---|
| Costco Audit Request # | 201802-NFGMP-02037 | | |
| **Audit Type** | **Annual Audit** | | |
| Audit Report # | A4669021 | Auditor Name | Amy Yin |
| Audit Start Date | 12 March 2018 | Number of Mandays | Two mandays |
| **Follow-up Audit 1** | Not Applicable | | |
| **Follow-up Audit 2** | Not Applicable | | |
| **Factory Name** | **Shanghai Yutuo Knitting Co Ltd** | | |
| Address | No. 119 Kanbei Road, Situan Town, Fengxian District, Shanghai City | | |
| State/Province | Shanghai | | |
| Country | China | | |
| Postcode | 201412 | | |
| Telephone # | 86-21-57535385 | | |
| Fax | 86-21-57535897 | | |
| E-mail Address | lituo1990@163.com | | |
| Supplier Name | Agron Inc. | | |

## Key Personnel

| Name | Job Title | E-mail ID |
|---|---|---|
| Yang Yong | General manager | lituo1990@163.com |
| Zhu Meijuan | Quality manager | NA |
| Huang Ying | Production manager | NA |
| Zhao Bo | Equipment Maintenance | NA |
| Yan Jun | Admin supervisor | NA |

*Note: provide up to 5 key personnel only*

## Sub-contractor Information

| Processes | Factory Name | Factory Address |
|---|---|---|
| NA | | |

## Company Profile

| | |
|---|---|
| Factory established in year: | 2003 |
| Main manufacturing processes: | Knitting=>Linking=>Heat setting=>Inspection=>Packing |
| Product category | Socks |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | |
|---|---|
| Factory area / dimensions | 15000 ㎡ |
| Number of Buildings | 2 buildings |
| Total number of employees | 149 |
| Production capacity | 1,000,000pairs/month |
| International certification | Nil |
| Peak season | No obvious peak season |
| Major market | USA |
| Major customer | Adidas, 47 Brand |
| Remarks (if any):Nil | |

# AUDIT RESULT SUMMARY

## Shanghai Yutuo Knitting Co Ltd

| Annual Audit | | | |
|---|---|---|---|
| Report # | A4669021 | Audit Date | 12 March 2018 |
| Auditor Name | Amy Yin | Number of Mandays | Two mandays |

| | Section Name | Section Score | Section Rating |
|---|---|---|---|
| **Section 1** | Management Commitment & Continual Improvement | 92% | Yellow |
| **Section 2** | Risk Management | 78% | Orange |
| **Section 3** | Quality Management System | 94% | Yellow |
| **Section 4** | Site and Facility Management | 90% | Yellow |
| **Section 5** | Product Control | 95% | Yellow |
| **Section 6** | Product Testing | 100% | Green |
| **Section 7** | Process Control | 90% | Orange |
| **Section 8** | Personnel Training | 63% | Orange |

| Overall Score | Overall Rating |
|---|---|
| **89.18%** | **Orange** |

| Factory Name | | Audit Date | Report # |
|---|---|---|---|
| **Shanghai Yutuo Knitting Co Ltd** | | 12 March 2018 | A4669021 |
| **Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment** | | **Annual Audit** | |
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **1** | **Management Commitment & Continual Improvement** | | |
| **1.1** | **Does company establish a quality policy stating the company's intentions to meet its obligations to manufacture quality, safe and legal products, and its responsibility to the customer?** | Full Compliance | |
| **1.2** | **Is the policy communicated throughout the company, and regularly reviewed?** | Full Compliance | |
| **1.3** | **Did management develop and implement a management system to achieve their goals for product quality, safety and customer requirements?** | Full Compliance | |
| **1.4** | **Does company review effectiveness of management systems (e.g. QMS) at defined intervals (minimum once per year)?** | Full Compliance | |
| **1.5** | **Are there documentary evidence that demonstrate management commitment to improve any significant area of findings identified during an audit?** | Full Compliance | |
| **1.6** | **Does company track its key performance indicators (KPI) for on-time delivery, outgoing quality, complaint rate, etc.?** | Deviation | The KPI for on-time delivery and outgoing quality had been tracked with records, but the facility did not track its key performance indicators for complaint rate. |
| **2** | **Risk Management System** | | |
| **2.1** | **Legislative and Safety Requirements** | | |
| **2.1.1** | **Is the company aware of relevant legislation, mandatory standards and industry/customer codes of practice applicable to the product in the countries of intended sale, and having a process in place for ensuring it is kept informed of changes to the relevant information?** | Deviation | The facility had some knowledge of some customer codes for client, but the mandatory standard or industry standard such as CPSIA etc. were not well fully aware in the facility. |
| **2.1.2** | **Does the company have a means of validating information impacting product safety, quality and legality, where such information is provided by the customer or related party?** | Full Compliance | |
| **2.2** | **Risk Assessment** | | |
| **2.2.1** | **Does the company establish a Product Risk Assessment for each product or a group of similar products, e.g., FMEA?** | Deviation | The facility had established the documented product risk assessment procedure, but it was not completely covered all the elements. |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **2.2.2** | **Where manufacturing sites have no responsibility for product design, is the company provided with a validated copy of the product risk assessment?** | Full Compliance | |
| **2.2.3** | **Does the product risk assessment address the following aspects which have an effect on product safety and legality?** | | |
| **2.2.3.1** | **User types (e.g., new born, young children, vulnerable people i.e., elderly, disabilities)** | Full Compliance | |
| **2.2.3.2** | **Product use (e.g., behavior, durability, user awareness, information and advice)** | Non Conformity | Product use was not included in the product risk assessment. |
| **2.2.4** | **Does the product risk assessment determine the following?** | | |
| **2.2.4.1** | **Possible Hazard/Risk Identification (e.g. Chemical, Physical, Regulatory)** | Full Compliance | |
| **2.2.4.2** | **Risk level for each identified hazard/risk (e.g. Severe, High, Moderate, Slight)** | Full Compliance | |
| **2.2.4.3** | **Whether the risk is acceptable considering the probability or likelihood and the severity and potential consequences of the effects on consumer safety (e.g., Not Acceptable, Review & Improve, Acceptable)** | Full Compliance | |
| **2.2.5** | **Does the company conduct a Process Risk Assessment of hazards potentially introduced during the production, packaging or storage processes?** | Deviation | The facility had established the documented process risk assessment procedure, but it was not completely covered with the pest control contamination element. |
| **2.2.6** | **Does the process risk assessment take the following into account?** | | |
| **2.2.6.1** | **Manufacturing parameters such as pressure, time, temperature** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **2.2.6.2** | **Conditions of equipment, moulds, dies, machinery** | Full Compliance | |
| **2.2.6.3** | **Chemicals / materials used for equipment (e.g. lubricating oils and paints)** | Full Compliance | |
| **2.2.6.4** | **Calibration of equipment** | Full Compliance | |
| **2.2.6.5** | **Policies on foreign body contamination (e.g. needles, metal, glass and brittle plastics)** | Full Compliance | |
| **2.2.6.6** | **Policies on microbiological contamination (e.g. hygiene of toilet & canteen, pest control)** | Non Conformity | Pest control contamination was not included in the product risk assessment. |
| **2.2.6.7** | **Personal protective equipment (including specific clothing and footwear)** | Full Compliance | |
| **2.2.7** | **Does the process risk assessment identify the following?** | | |
| **2.2.7.1** | **A list of potential risk or hazards in the production process** | Full Compliance | |
| **2.2.7.2** | **Control points to manage the identified risk to acceptable level** | Full Compliance | |
| **2.2.7.3** | **Accept / reject limits defined for each control point** | Full Compliance | |
| **2.2.7.4** | **Corrective action to be taken where a CCP is out of control** | Full Compliance | |
| **2.2.7.5** | **Responsibility of Control Points** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **2.2.7.6** | **Records of monitoring & reviews** | Full Compliance | |
| **2.3** | **Verification of Risk Assessment** | | |
| **2.3.1** | **Is the verification of risk assessment carried out prior to production?** | Non Conformity | No risk assessment verification was conducted prior to production. |
| **2.3.2** | **Is the risk assessment carried out by competent personnel (internal or external)?** | Non Conformity | The risk assessment team was not formally trained. |
| **2.3.3** | **Is the risk assessment regularly reviewed, at least annually or when changes made to product design and materials and/or key manufacturing processes?** | Full Compliance | |
| **2.3.4** | **Does the company implement risk management systems based on a systematic risk assessment system to assure product safety legality and quality?** | Deviation | The facility established product risk assessment and process risk assessment, and risk assessment report was found, but the product and process risk assessment was not completely covered all the necessary elements. |
| **3** | **MANAGEMENT SYSTEM** | | |
| **3.1** | **Documented Quality System** | | |
| **3.1.1** | **Does company have a documented quality system approved by top management, outlining the criteria and methods used to meet system requirements?** | Full Compliance | |
| **3.1.2** | **Does the quality system include detailed procedures, instructions, and reference documents covering all manufacturing processes?** | Full Compliance | |
| **3.2** | **Organizational Structure, Responsibility and Authority** | | |
| **3.2.1** | **Does company define and communicate the levels of responsibility and accountability for staff involved with product safety, legality, and quality?** | Full Compliance | |
| **3.2.2** | **Are there appropriate arrangements in place, to cover for the absence of key staff?** | Non Conformity | The facility did not establish the appropriate arrangement to cover for the absence of key staff. |
| **3.3** | **Customer Focus** | | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **3.3.1** | **Is there a process in place to communicate customer's needs and expectations to all relevant employees?** | Full Compliance | |
| **3.3.2** | **Are performance indicators relating to customer satisfaction established?** | Deviation | Customer feedback handle and improvement record was found, but the performance indicators of customer feedback was not established. |
| **3.3.3** | **Does company establish a procedure or policy to safeguard customer property including software, intellectual property and products?** | Full Compliance | |
| **3.4** | **Specifications** | | |
| **3.4.1** | **Do specifications or codes of practice exist for raw materials (including packaging), intermediate/semi processed products (where appropriate), and finished products?** | Full Compliance | |
| **3.4.2** | **Are specifications adequate, accurate, and ensure compliance with relevant safety, legislative and customer requirements?** | Full Compliance | |
| **3.4.3** | **Any changes in product specifications are formally agreed with customers and then communicated to relevent departments?** | Full Compliance | |
| **3.5** | **Purchasing, Supplier and Sub-Contractor Approval and Performance Monitoring** | | |
| **3.5.1** | **Are there procedures for approval and an on-going monitoring program for sub-contractors and suppliers of all raw materials, packaging, and utilities? Does company use the results of the approval process to determine acceptable/non acceptable sources?** | Full Compliance | |
| **3.5.2** | **Do these procedures include clear criteria for assessment as well as standards of performance required? (Assessment may take the form of monitoring performance through in-house checks, certificates of analysis or extend to supplier or sub-contractor inspection, as appropriate. Assessment may include evaluation of systems, product safety information and legislative requirements.)** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **3.5.3** | **Does company provide material specifications and compliance requirements to raw-material, trims and packaging materials suppliers when placing orders?** | Full Compliance | |
| **3.6** | **Identification & Traceability** | | |
| **3.6.1** | **Is there a lot identification and traceability system for all raw materials (including packaging), work in progress and finished products?** | Full Compliance | |
| **3.6.2** | **Are raw materials (including packaging), work in progress and finished products identified to ensure traceability?** | Deviation | Based onsite checking, some semi-finished goods in knitting workshop were not identified with clear label detailed with order number. |
| **3.6.3** | **Can company identify, trace, and locate 100% of finished product lots/batches from raw material (based on random sampling)?** | Full Compliance | |
| **3.6.4** | **Can company identify, trace, and locate 100% of raw materials used in customer products (based on random sampling)?** | Full Compliance | |
| **3.6.5** | **Is the system regularly tested to ensure traceability can be determined from raw material source to finished product and vice-versa?** | Full Compliance | |
| **3.7** | **Incident Management and Product Recall** | | |
| **3.7.1** | **Does company have an incident management procedure for incidents or emergencies that impact product quality, safety or legality?** | Full Compliance | |
| **3.7.2** | **Is there a procedure to ensure that customers are notified immediately of any issue which has potentially resulted in an illegal or unsafe product being delivered or already delivered to the customer?** | Full Compliance | |
| **3.7.3** | **Is there an effective, documented Product Recall procedure in place? Is the procedure appropriate, formalized and capable of being operated at any time and takes into account stock requisition, logistics, recovery, storage and disposal?** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **3.7.4** | **Does company conduct mock recall test to check effectiveness of Product Recall procedure at least once a year?** | Full Compliance | |
| **3.8** | **Complaint Handling** | | |
| **3.8.1** | **Does company have a system for the management of complaints?** | Full Compliance | |
| **3.8.2** | **Do records indicate that complaints are thoroughly investigated and corrective actions taken to eliminate the root cause of non-conformities to prevent recurrence?** | Full Compliance | |
| **3.9** | **Corrective and Preventive Action** | | |
| **3.9.1** | **Does company have a system for investigating the cause of significant non-conformity against operation procedures, which are critical to product safety, legality and quality?** | Full Compliance | |
| **3.9.2** | **Are there records indicating that the company takes timely actions to eliminate the root cause of non-conformities against operation procedures in order to prevent recurrences?** | Full Compliance | |
| **3.10** | **Document Control** | | |
| **3.10.1** | **Does company maintain proper documentation for control of formulas, specifications, BOM, procedures and work instructions?** | Full Compliance | |
| **3.10.2** | **Controlled documents are secured and access restricted?** | Full Compliance | |
| **3.10.3** | **Are all relevant safety, legal, quality and complaint documents (e.g. QC, production, complaint, product safety records, etc.) shall be legible and retained in good condition for the time specified by customers or the factory QMS whichever is longer?** | Full Compliance | |
| **3.10.4** | **All documents in use are the correct version?** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **3.10.5** | **Any amendments to records are authorized?** | Full Compliance | |
| **3.11** | **Internal Audit** | | |
| **3.11.1** | **Are internal audits on management systems (e.g. QMS) conducted at defined intervals (minimum once a year)?** | Full Compliance | |
| **3.11.2** | **All corrective actions and follow-ups related to internal audits are satisfactorily completed?** | Full Compliance | |
| **4** | **Sites and Facilities Management** | | |
| **4.1** | **Factory layout** | | |
| **4.1.1** | **Is the building designed, constructed and maintained to minimize any potential for product contamination?** | Full Compliance | |
| **4.1.2** | **Does the placement of machinery and equipment allow an efficient product flow and minimize the risk of product contamination, loss of traceability and damage?** | Full Compliance | |
| **4.2** | **Production flow** | | |
| **4.2.1** | **Is a process flow diagram available?** | Full Compliance | |
| **4.2.2** | **Do the premises allow sufficient working space and storage capacity to enable all operations to be carried out under safe and if necessary hygienic conditions, including areas such as raw material storage, component storage, production floor, packing or finishing area, finished product storage, etc?** | Deviation | During onsite tour, few raw materials such as packing accessories were stored on the ground of warehouse directly. |
| **4.3** | **Segregation of products** | | |
| **4.3.1** | **Is there effective segregation to minimize the risk of product cross-contamination taking into account the flow of product, nature of materials, equipment, personnel, waste, airflow, air quality, and utilities?** | Full Compliance | |
| **4.4** | **Staff facilities** | | |
| **4.4.1** | **Are staff facilities such as washrooms, canteens, and break areas designed and operated so as to minimize the risk of product contamination?** | Full Compliance | |
| **4.4.2** | **Are workers not allowed to have food, drink, or smoke at their work areas?** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **4.4.3** | **Where smoking is allowed under national law, are designated controlled smoking areas isolated from production areas to an extent that ensures smoke cannot reach the product?** | Full Compliance | |
| **4.4.4** | **Where specific work wear is required, are designated changing facilities provided for all personnel such as staff, visitors, or contractors?** | Not Applicable | Specific work wear was not required. |
| **4.4.5** | **Are suitable and sufficient hand-cleaning facilities provided at entrance and other appropriate points within production areas?** | Full Compliance | |
| **4.4.6** | **Any personal jewelry or other objects prohibited in the production areas for the risk of product contamination?** | Full Compliance | |
| **4.5** | **Cleaning and hygiene practices( Where applicable) Note: Auditors should make a judgment if this sub-section is applicable based on nature of the products** | | |
| **4.5.1** | **Are cleaning practices completed so as to minimize risk of contamination?** | Full Compliance | |
| **4.5.2** | **Are cleaning, pest control, and process-aid chemicals suitably identified and controlled to prevent the risk of product contamination?** | Full Compliance | |
| **4.5.3** | **Where cleaning services are outsourced, do service providers have a signed contract which identifies the scope and frequency of the work and a logbook maintained as a record of work done?** | Not Applicable | No cleaning sub-contractor was used. |
| **4.5.4** | **Do documented cleaning procedures exist for the buildings, utilities, plant, and all equipment?** | Full Compliance | |
| **4.5.5** | **Do the documented cleaning procedures contain the following information: responsibility for cleaning, items or area to be cleaned, frequency of cleaning, method of cleaning, materials to be used, cleaning records and responsibility for verification?** | Full Compliance | |
| **4.5.6** | **Is cleaning and housekeeping carried out by trained personnel in accordance with documented procedures and records maintained?** | Non Conformity | No training record for cleaning or housekeeping was provided. |
| **4.6** | **Pest control** | | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **4.6.1** | **Has the company identified and controlled the risk of pest infestation on the site(by factory internal or erternal third party), through operation of pest control procedures?** | Full Compliance | |
| **4.6.2** | **Does the company have a clearly defined contract with external contractors which reflect the activities of the site, or have trained staff who undertake this responsibility?** | Deviation | The pest control responsible staff member was not provided with training or qualifications. |
| **4.6.3** | **Are inspection record for pest control maintained and complete?** | Full Compliance | |
| **4.6.4** | **Are bait stations robustly constructed, operational, and effective in eliminating the target pests?** | Full Compliance | |
| **4.6.5** | **Are bait stations positioned to avoid potential contamination of materials and products?<br>Are fly-killing devices and/or pheromone traps correctly sited and operational?** | Full Compliance | |
| **4.7** | **Lighting and ventilation** | | |
| **4.7.1** | **Is there sufficient lighting in the factory, including the production floor, inspection areas, test areas, storage areas, maintenance areas, finishing and packing areas, etc?** | Deviation | The lightings in knitting area (449 Lux) were not adequate according to the requirement of client. |
| **4.7.2** | **Is the ventilation adequate to maintain product safety, legality, and quality at the production floor, inspection areas, test areas, storage areas, maintenance areas, finishing and packing areas, etc.?** | Full Compliance | |
| **4.8** | **Contamination** | | |
| **4.8.1** | **Does the company have control of the transport and storage of products, from delivery of raw materials and components, to finished product?** | Deviation | Some packing materials were stored on the ground of warehouse directly. |
| **4.8.2** | **Has the company undertaken the necessary steps to identify and prevent the risks of foreign body contamination as identified by risk assessment including any contamination potentially introduced by the packaging?** | Full Compliance | |
| **4.8.3** | **Are tools and other sharp objects used in production controlled?** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **4.8.4** | **Where a metal or foreign body detector is required or specified by a customer, do documented procedures exist specifying its use, location, critical limits for detection, maintenance, and recording of results?** | Full Compliance | |
| **4.8.5** | **Where applicable are all needles under control without any spare needles unsecured?** | Full Compliance | |
| **4.8.5.1** | **If a needle is broken, is there a process for the replacement?** | Full Compliance | |
| **4.8.5.2** | **Is there is process to handle and account for all parts of a broken needle?** | Full Compliance | |
| **4.8.5.3** | **Does the factory retain all needle control records for a minimum of one year?** | Full Compliance | |
| **4.8.5.4** | **Is appropriate action taken when a needle is missing or fragments cannot be found?** | Full Compliance | |
| **4.8.6** | **Is the use of wood within raw material handling, preparation, processing, packing, and storage areas eliminated except when used in the product or for wooden pallets where associated risks have been evaluated and controlled?** | Not Applicable | No wood were used for raw material handling, preparation, processing, packing and storage areas. |
| **5** | **Product Control** | | |
| **5.1** | **Reference Samples (Preproduction and Production Sample)** | | |
| **5.1.1** | **Does the company have a documented procedure to identify, select, categorize, handle, store, approve and use the reference samples (pre-production and production samples)?** | Non Conformity | No such documented reference sample control procedure was established. |
| **5.1.2** | **Does the company retain the samples which have been approved by the customer? If the customer approval is not possible, the sample representative of the agreed specification must be retained. (Note: Exception for those samples are physically very large or represent a very high cost, e.g., same style being produced in more than one line and/or one facility)** | Full Compliance | |
| **5.1.3** | **Are the samples retained with defined retaintion period, and securely stored in suitable environmental conditions to maintain their original status?** | Full Compliance | |
| **5.2** | **Chemical Control** | | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **5.2.1** | **A 'List of Approved Chemicals with Corresponding Brands / Manufacturers' should be maintained for the chemicals used as an ingredient or in contact with the products. The list can be in electronic format or in the computer system, e.g., ERP.** | Full Compliance | |
| **5.2.2** | **When chemicals are used as raw materials or ingrediants, does the company have documented procedure for managing, approving and controlling the engineering changes / product changes that may alter the chemical composition of the final product?** | Full Compliance | |
| **5.2.3** | **Is the use of any substances classified as dangerous or of very high concern, in the country of sale documented?** | Full Compliance | |
| **5.2.4** | **When chemicals are used as raw materials or ingredients, are test reports or certificates of compliance available to demonstrate any presence of hazardous substances / Substances of Very High Concern (SVHC) in all incoming materials and components are below the threshold value for the country of sale?** | Full Compliance | |
| **5.2.5** | **Does the company test final products to ensure they are free of Hazardous Substances or SVHC are below the threshold value relating to the product safety regulations of the country in which the products are sold?** | Full Compliance | |
| **5.2.6** | **Are controlled storage facilities provided for all chemicals used in the factory site (including cleaning and pest control chemicals) as per the recommendations on the manufacturer label to avoid deterioration or degrade?** | Full Compliance | |
| **5.2.7** | **Are procedures, MSDS, description or diagram for the handling of chemicals available at the point of use?** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **5.2.8** | **Are segregation or other measures in place to avoid cross contamination or undesirable chemical reaction of chemical substances and/or preparations (e.g., acids and bases, flammables and oxidizers should not be stored together)?** | Full Compliance | |
| **5.2.9** | **Does the company adopt 'First-in and First-out'' logistic concept on its warehouse management for the chemicals with expiry date (i.e., materials with earlier expiry date should be used first)?** | Full Compliance | |
| **5.2.10** | **Are the production equipment and devices inspected and cleaned regularly between batches to avoid cross contamination?** | Full Compliance | |
| **5.3** | **Product Packaging Materials** | | |
| **5.3.1** | **Are packaging assessed for fitness for purpose and determined suitable with regard to the following?** | | |
| **5.3.1.1** | **Protecting the product from damage;** | Full Compliance | |
| **5.3.1.2** | **Maintaining the integrity of the product;** | Full Compliance | |
| **5.3.1.3** | **Protecting the consumer from injury; and** | Full Compliance | |
| **5.3.1.4** | **Preventing contamination** | Full Compliance | |
| **5.3.2** | **Does the product packaging conform to an agreed and documented specification and legal requirements of the country of sale with regard to composition, recyclability?** | Full Compliance | |
| **5.3.3** | **Are packaging materials effectively protected before being returned to storage?** | Deviation | Some packing materials were put on ground of warehouse. |
| **5.3.4** | **Where staples or other metal closures are used for packaging, are appropriate precautions taken to prevent the risk of contamination, damage or injury to the product or consumer?** | Not Applicable | No staples were found used in packaging. |
| **5.4** | **Control of Non conforming Materials** | | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **5.4.1** | **Does the company establish documented procedures for the control of non-conforming materials and products, including rejection, segregation, acceptance by concession or re-grading for an alternative use?** | Full Compliance | |
| **5.4.2** | **Are the procedures understood by the authorized personnel and implemented effectively?** | Full Compliance | |
| **5.4.3** | **Are all non-conforming products and their packaging handled or disposed of according to the nature of the problem and/or the specific customer or legislative requirements?** | Full Compliance | |
| **5.4.4** | **Are the records kept for the nonconformities and subsequent actions taken?** | Full Compliance | |
| **5.5** | **Product Transport, Storage and Distribution** | | |
| **5.5.1** | **Are preventive measures (e.g., protection or suitable packaging) taken to ensure the transport, storage and distribution across the supply chain (from raw materials dispatch to finished product delivery) minimize the risk of contamination and damage?** | Full Compliance | |
| **5.5.2** | **Is transportation in good repair and in a clean/hygienic condition?** | Full Compliance | |
| **5.5.3** | **Where the product transported is susceptible to weather damage, are vehicles loaded and unloaded in covered areas/bays to prevent the risk of contamination and damage?** | Full Compliance | |
| **5.5.4** | **Where the product needs specific environmental requirements to prevent degradation, are these conditions documented, maintained and monitored during the transportation, storage and distribution?** | Not Applicable | No products need specified environment was produced in this facility. |
| **5.6** | **Stock Control and Product Release** | | |
| **5.6.1** | **Does the company establish a procedure ensuring only products conforming to specifications/defined quality are dispatched?** | Full Compliance | |
| **5.6.2** | **Are the procedures for products dispatch include the following?** | | |
| **5.6.2.1** | **a) release by authorized personnel** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **5.6.2.2** | **b) all inspections and testing shall be successfully completed and documented to verify legislative and other defined requirements are met.** | Full Compliance | |
| **5.6.3** | **Where home-workers or subcontractors are used, are the same procedures for products dispatch (as Q5.6.1 & Q5.6.2) applied to the works/products done by home-workers or subcontractors?** | Not Applicable | Claimed by the facility, no home-workers or subcontractors were used. |
| **5.6.4** | **Are controls for correct stock rotation in place to ensure materials and products used in the correct order and within the allocated shelf or usage life, where applicable?** | Full Compliance | |
| **6** | **Product Testing and Product Claims** | | |
| **6.1** | **Product Testing** | | |
| **6.1.1** | **Does company establish procedures to undertake or subcontract analyses / testing according to product type and intended retail market?** | Full Compliance | |
| **6.1.2** | **Does a documented testing plan exist which includes sample size, frequency, test method and pass/fail criteria for all tests on raw materials, work-in-process and finished products, to ensure that the final product meets customer requirements?** | Full Compliance | |
| **6.1.3** | **For those tests on finished products, which factory performs in-house (and does not utilize services of external accredited lab), does the in-house testing comply with the requirements of an approved Independent Laboratory Accreditation Standard or equivalent?**<br><br>**Note: This clause is applicable only for those tests on finished products, which factory performs in-house and does not utilize services of external accredited lab.** | Not Applicable | No formal lab was set in the facility, the main testing was conducted in third party accredited lab if required. |
| **6.2** | **Product Claims** | | |
| **6.2.1** | **Does company undertake product testing or inspections to validate and verify any stated claims about a product specification, quality or performance?** | Full Compliance | |
| **7** | **Process Control** | | |
| **7.1** | **Control of operations** | | |
| **7.1.1** | **Are preproduction meetings undertaken prior to new or substantially changed products being produced, to evaluate and approve the processes?** | Full Compliance | |
| **7.1.2** | **In the event of deviation of the process from specification, is corrective action taken and recorded?** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **7.2** | **Control of incoming components and raw materials** | | |
| **7.2.1** | **Are there documented approval procedures for raw materials and incoming goods, which assure conformance to agreed specifications, requirements and documented positive batch release including compliance to safety and regulatory requirements for the country in which the products will be sold?** | Full Compliance | |
| **7.2.2** | **Is there evidence of the inspection status of incoming components and raw materials?** | Full Compliance | |
| **7.2.3** | **Do the incoming goods procedures cover subcontracted work and work performed outside of the primary site?** | Not Applicable | According to statement from the facility representative, home-worker or subcontractor was not used. |
| **7.3** | **Calibration and control of measuring and monitoring devices** | | |
| **7.3.1** | **Has all equipment used in accept or reject activity been effectively calibrated?** | Full Compliance | |
| **7.3.2** | **Are records of the results of calibration and verification maintained for a suitable period taking account of the life of the products being produced?** | Full Compliance | |
| **7.3.3** | **Are procedures in place for actions to be taken if equipment is found not to be operating within specified tolerances and/or limits?** | Non Conformity | No such procedure was established for the actions to be taken if equipment was found not be calibrated. |
| **7.4** | **Equipment and tooling maintenance** | | |
| **7.4.1** | **Is equipment properly specified before use and operating parameters for production equipment and tooling determined, validated, and implemented as part of the control plan?** | Full Compliance | |
| **7.4.2** | **Is there a documented system for planned maintenance covering all items of equipment and plant which are critical to product safety, legality, and quality?** | Full Compliance | |
| **7.4.3** | **Are preventative maintenance schedules or cycles documented and on schedule?** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **7.4.4** | **Are engineering and maintenance workshops controlled to prevent contamination risks to the product, and organized, clean and tidy to allow safe, efficient, and good-quality work?** | Full Compliance | |
| **7.4.5** | **Do machines, equipment, fixtures, tools and measurement equipment appear to be clean in good condition and well maintained?** | Full Compliance | |
| **7.5** | **Final product packing and control** | | |
| **7.5.1** | **Do procedures exist to specify and control the packing of finished product, taking into account customers requirements?** | Full Compliance | |
| **7.5.2** | **Has the company verified that the information shown on primary (consumer) package labels including bar codes and outer cartons are correct and meet the customer specification, regulatory and safety requirements of the region of intended sale?** | Full Compliance | |
| **7.6** | **Random Inspections** | | |
| **7.6.1** | **Are in-line inspections carried out during assembly of the product** | Full Compliance | |
| **7.6.2** | **Procedures shall be in place to randomly sample and inspect work-in-process according to customer or internal IPQC requirements.** | Full Compliance | |
| **7.6.3** | **Products shall be inspected for appearance, size, color and workmanship prior to packing as per customer or internal requirements.** | Full Compliance | |
| **7.6.4** | **Product standards and guidelines shall be available and used by inspectors.** | Full Compliance | |
| **7.7** | **Industry Module** | | |
| **7.7.1** | **Incoming Material Inspection** | | |
| **7.7.1.1** | **Shades of fabric and yarn shall be checked against approved standard to verify they are within tolerance (conducted under approved light source).** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **7.7.1.2** | **Fabrics shall be inspected according to 4-point, 10-point, or specified system before cutting.** | Not Applicable | No fabric was used for the facility. |
| **7.7.1.3** | **Procedures shall be in place to check shade matching and color to trim on each dye lot.** | Full Compliance | |
| **7.7.1.4** | **Trims and accessories from each dye lot shall be tested and visually inspected against standards and approved samples before use in production** | Full Compliance | |
| **7.7.1.5** | **Materials shall have independent test certificates to assure conformity with destination market and/or customer requirements regarding phthalates.** **(This clause is applcable only to soft toys products only)** | Not Applicable | No such toys products were produced in the facility. |
| **7.7.2** | **Sample Development and Pre-production Plan** | | |
| **7.7.2.1** | **Patterns (whenever applicable), pre-production and size set (whenever applicable) samples shall be reviewed and checked against approved specifications, construction requirements and design details.** | Full Compliance | |
| **7.7.2.2** | **Are initial samples made in the factory?** | Full Compliance | |
| **7.7.2.3** | **Are production samples made in the factory?** | Full Compliance | |
| **7.7.2.4** | **Are samples checked systematically?** | Full Compliance | |
| **7.7.2.5** | **Are bulk fabrics / yarns checked for shrinkage?** | Non Conformity | Shrinkage testing record was not provided. |
| **7.7.2.6** | **Are equipment facilities adequate in the sample room?** | Non Conformity | The facility did not set up sample making room. |
| **7.7.2.7** | **Is a dummy fitting form available in the sample room?** | Non Conformity | No dummy fitting form was set up in the sample room. |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **7.7.2.8** | **Prototypes shall be made from representative materials in approval forms for identifying potential hazard problems (i.e. sharp points, sharp edges, finger entrapment etc.)** **(This clause is applcable only to soft toys products only)** | Not Applicable | No such products were produced in the facility. |
| **7.7.3** | **Markers, Patterns, Cutting, and Fusing** | | |
| **7.7.3.1** | **Paper pattern and markers (whenever applicable) shall be checked and approved prior to cutting.** | Not Applicable | No cutting process was available in the facility. |
| **7.7.3.2** | **Procedures and controls for spreading process shall be in place based upon fabric properties. Relaxation time and spread height shall be appropriate for the material being spread.** | Not Applicable | No cutting process was available in the facility. |
| **7.7.3.3** | **Fabrics/yarns shall be cut according to dye/shade lot.** | Not Applicable | No cutting process was available in the facility. |
| **7.7.3.4** | **White/light colors shall be cut separately from darker shade fabrics/yarn.** | Not Applicable | No cutting process was available in the facility. |
| **7.7.3.5** | **When necessary, is each cut piece individually ticketed with data to give total traceability?** | Not Applicable | No cutting process was available in the facility. |
| **7.7.3.6** | **Cut panels shall be checked against marker using top, middle and bottom panels from the cut panel blocks.** **(This clause is applicable for Apparel only)** | Not Applicable | No cutting process was available in the facility. |
| **7.7.3.7** | **Cut panel replacement procedures shall be in place to replace defective panels with fabric from the same dye lot or shade.** | Not Applicable | No cutting process was available in the facility. |
| **7.7.3.8** | **Fusing quality shall be monitored through periodic testing of temperature and bond strength with records maintained.** | Not Applicable | No cutting process was available in the facility. |
| **7.7.4** | **Sewing, Knitting, and Linking** | | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **7.7.4.1** | **Sewing lines shall be organized in accordance with process flow, with work instruction.** | Not Applicable | No sewing process was used in the facility production. |
| **7.7.4.2** | **Random measurement inspection at end of the sewing line shall be carried out.** | Not Applicable | No sewing process was used in the facility production. |
| **7.7.4.3** | **Operators of knitting machines shall have approved written procedures explaining the knitting sequence, the amount of weights required for each style, courses/inch, wales/inch, panel width and height when using hand frame machines. Automatic knitting machines shall be properly set per instructions.** | Full Compliance | |
| **7.7.4.4** | **When necessary, are shade lots separated by a colour continuity system?** | Full Compliance | |
| **7.7.4.5** | **Are approved samples displayed in the sewing room?** | Full Compliance | |
| **7.7.4.8** | **Does the factory have a system to manage the labels and hangtags?** | Full Compliance | |
| **7.7.5** | **Wet Processing (N/A if No Wet Processing)** | | |
| **7.7.5.1** | **Each wash batch shall be inspected and approved for shade variation against approved shade band under an approved light source.** | Not Applicable | No wet process was used in the facility. |
| **7.7.5.2** | **Each batch shall be inspected for critical measurement prior to and after washing.** | Not Applicable | No wet process was used in the facility. |
| **7.7.5.3** | **Products shall be weighed to ensure the correct quantity of detergent is being calculated and used in accordance with the washing formula.** | Not Applicable | No wet process was used in the facility. |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **7.7.5.4** | **Controls shall be in place to ensure that processing cycle times, temperature, and pH are accurately controlled.** | Not Applicable | No wet process was used in the facility. |
| **7.7.5.5** | **Control and procedures shall be in place to ensure that color, effect and hand feel standards, as well as other aesthetic properties and standards are met.** | Not Applicable | No wet process was used in the facility. |
| **7.7.5.6** | **Testing shall be conducted on a routine basis to ensure the quality of the water and steam is acceptable and will not cause stains or adversely affect the formula.** | Not Applicable | No wet process was used in the facility. |
| **7.7.5.7** | **Are handfeel and appearance samples available in this section?** | Not Applicable | No wet process was used in the facility. |
| **7.7.5.8** | **Is a light inspection carried out before washing?** | Not Applicable | No wet process was used in the facility. |
| **7.7.5.9** | **Is a light inspection carried out after washing?** | Not Applicable | No wet process was used in the facility. |
| **7.7.6** | **In-process Control/Testing** | | |
| **7.7.6.1** | **Set-up instruction sheets shall be present at each embroidery machine. Thread tension shall be monitored with records kept.** | Not Applicable | No embroidery process was carried out in the facility. |
| **7.7.6.2** | **Products or components being produced at sub-contracted facilities or the outsource of washing, embroidery, printing, snap and fastener attachment processes etc. shall be inspected after goods are returned from the sub-contractor.** | Not Applicable | No sub-contractor was used by the facility. |
| **7.7.6.3** | **Controls shall be in place for all critical machine, thread and needle settings base on fabric types and style.** | Full Compliance | |
| **7.7.6.4** | **Seconds and overruns products shall be handled as per customer requirements.** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **7.7.6.5** | **Testing for attachment security shall be carried out according to customer requirements or internal standards as appropriate.** | Not Applicable | No attachments components were used for socks. |
| **7.7.6.6** | **Filled products (cushions, comforters, filled jackets, etc.) should be tested for flammability and must comply with the safety requirements where the products are sold, as applicable.** | Not Applicable | No filled products were produced in this facility. |
| **7.7.6.7** | **Filled products being exported to US should have a Law label sewn on to the product.** | Not Applicable | No filled products were produced in this facility. |
| **7.7.6.8** | **Opening and mixing of filling components in Blended filling materials.** | Not Applicable | No filled products were produced in this facility. |
| **7.7.6.9** | **In filling / stuffing section, company shall take steps to ensure that no paper, polythene, floor sweepings or other contaminants, e.g. dust, are mixed in with the filling / stuffing material.** | Not Applicable | No stuffing process in this facility. |
| **7.7.6.10** | **Procedures or W/I for controlling weight of stuffing is per product specification or customer requirement.** | Not Applicable | No stuffing process in this facility. |
| **7.7.6.11** | **Fire Resistant fabric/filling (fibers) material shall have independent test certificates, and shall be segregated from non Fire Resistant Fabric/Filling (fibers) Material. (This clause is applcable only to soft toys products only)** | Not Applicable | No such products were produced in the facility. |
| **7.7.8** | **Finishing and Pressing** | | |
| **7.7.8.1** | **Trimming shall be conducted according to customer requirements or internal standards.** | Full Compliance | |
| **7.7.8.2** | **Pressing shall be carried out according to customer requirements or internal standards as appropriate.** | Full Compliance | |
| **7.7.8.3** | **Controls shall be in place to ensure proper cleaning equipment and cleaning agents are applied to different stain types.** | Full Compliance | |
| **7.7.8.4** | **Products shall be separated into shades prior to packing per customer requirements or internal standards whichever is applicable.** | Full Compliance | |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **7.7.8.5** | **Is a conveyor-belt-type metal detector used?** | Full Compliance | |
| **7.7.8.6** | **Before any finished goods can be passed through the metal detector, are "checking tests" carried out using the nine-point system?** | Full Compliance | |
| **7.7.8.7** | **Does the factory conduct 100% metal detection?** | Full Compliance | |
| **7.7.8.8** | **Does the factory have a "metal-free" area?** | Full Compliance | |
| **8** | **Personnel Training and Competency** | | |
| **8.1** | **Does the company establish training procedures?** | Full Compliance | |
| **8.2** | **Does the company determine necessary competence for personnel performing work impacting product safety, legality and quality?** | Full Compliance | |
| **8.3** | **Does the company regularly identify training needs (including refresher training) for personnel performing work that affects product safety, legality and quality?** | Full Compliance | |
| **8.4** | **Are personnel performing work that affects product safety, legality and quality (including temporary personnel and contractors) appropriately trained and instructed prior to commencing work and adequately supervised throughout the working period?** | Non Conformity | No personnel was trained on risk assessment and no external team was employed. |
| **8.5** | **Are the personnel, who have a direct effect on the safety, quality or legality of products, trained to ensure understanding of risk assessment procedures or outcomes as necessary for their activity?** | Non Conformity | No risk assessment training was provided for relevant staffs. |

| Costco GMP Apparel, Hometextile & Soft Toys Factory Assessment | | Annual Audit | |
|---|---|---|---|
| **Clause #** | **Sectional Scope & Clause Requirements** | **Assessment Result** | **Audit Findings** |
| **8.6** | **Are the effectiveness of trainings evaluated?** | Non Conformity | Effectiveness of training was not evaluated. |
| **8.7** | **Are up-to-date training records stored in a secure way such that privacy of personnel is protected?** | Full Compliance | |
| **8.8** | **Are the personnel performing work that affects product safety, legality and quality demonstrably competent to carry out their activity?** | Full Compliance | |

# Capability & Capacity FA Pre- Audit Questionnaire ( PAQ)

Instruction:
1. Supplier/ Factory representatives must complete all the required fields( highlighted in yellow), put N/A if not applicable.
2. Supplier/Factory shall provide accurate informations to represent the factory to be audited. Intertek Auditor will verify during the audit.
3. Supplier/ Factory need to submit this completed PAQ to Intertek Coordinator at least 5 days before confirmed audit date.

## 1. Factory Overview

| | |
|---|---|
| 工厂名称 | 上海宇拓针织有限公司Shanghai Yutuo Knitting Co Ltd |
| 工厂地址 | 上海市奉贤区四团镇坎北路118号No. 118 Kanbei Road, Situan Town, Fengxian District, Shanghai City |
| 工厂电话 | 57535385 |
| 工厂传真 | 57535897 |
| 网址 | NA |
| Name of Contact | 杨勇 |
| 邮箱地址 | lituo1990@163.com |
| 成立年份 | 2003 |
| 建筑数量 | 2幢 |
| 总生产面积 | 10000 |
| 仓库平方面积 | 4000 |

## 2. Personnel

| 2.1 Key Staff | Name | Tel | E-mail | Year(s) in Position at Company | Year(s) at Company |
|---|---|---|---|---|---|
| General Manager | 杨勇 | 13817360122 | lituo1990@163.com | 15 | 15 |
| Quality/Technical Manager | 朱妹娟 | 15021107732 | / | 10 | 10 |
| Production Manager | 黄英 | / | / | 7 | 7 |
| R & D Manager | / | / | / | | |
| Health & Safety Officer | 严俊 | 13916955909 | / | 10 | 10 |
| Security Representative/Officer | 严俊 | 13916955909 | / | 10 | 10 |
| Equipment Maintenance | 赵波 | 13916875952 | / | 10 | 10 |
| Others (please specify) | | | | | |

### 2.2 Personnel / Headcount by Department

| Department | Full time | Part time | Sub Total |
|---|---|---|---|
| 生产部 | 120 | 0 | 120 |
| 品质部 | 15 | 0 | 15 |
| 业务部 | 3 | 0 | 3 |
| 采购部 | 1 | 0 | 1 |
| 技术部 | 2 | 0 | 2 |
| 行政部 | 9 | 0 | 9 |
| | | | 0 |
| | | | 0 |
| | | | 0 |
| | | Grand Total: | 150 |

## 3. Export Markets

| Markets | % of Total Business Volume |
|---|---|
| U.S. / North America 美国/北美 | 100% |
| E.U. 欧盟 | |
| Asia 亚洲 | |
| Others 其他人 | |
| Domestic 国内 | |

## 4. Key Clients (past 12 months) 主要客户（过去12个月）

| Customers | % Business | Type of Products 类型的产品 | Market(s) |
|---|---|---|---|
| Adidas | 97 | 棉袜 | USA |
| 47 Brand | 3 | 棉袜 | USA |
| | | | |
| | | | |
| | | | |
| | | | |

## 5. Product Capabilities 5。产品功能

5.1 What items the factory produced in past 12 months? **在过去的12个月里，工厂生产了哪些产品？**

| Product Category 产品类别 | Years of Experience Producing Product多年生产产品经验 | Actual Units Shipped 实际年产量 |
|---|---|---|
| 棉袜 | 15年 | 1200万双 |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |
| | | |

5.2 What are the current items being produced? 目前正在生产的产品是什么？

| Product Category产品类别 | Material原料 | Client客户 | Ship date出运日期 | Quantity (units)数量 |
|---|---|---|---|---|
| 袜子 | 涤棉，氨纶，橡筋 | Adidas | 2018/03/29 | 4300 打 |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

# Capability & Capacity FA Pre- Audit Questionnaire ( PAQ)

Instruction:
1. Supplier/ Factory representatives must complete all the required fields( highlighted in yellow), put N/A if not applicable.
2. Supplier/Factory shall provide accurate informations to represent the factory to be audited. Intertek Auditor will verify during the audit.
3. Supplier/ Factory need to submit this completed PAQ to Intertek Coordinator at least 5 days before confirmed audit date.

## 6. Production Capabilities 6。生产能力

In case of power shortage, is back-up generator in place?在电力短缺的情况 No
If yes, how many and what is the capacity of each generator?如果是，每个发

### 6.1 List of Major Machinery / Utilities 主要机械/实用工具6.1

| Machinery机械 | Type类型 | Quantity数量 | Condition |
|---|---|---|---|
| 电脑袜机 | 144N, 120N, 132N | 206 | Fully operational |
| 定型机 | | 2 | Fully operational |
| 机缝机 | | 14 | Fully operational |
| 手缝机 | | 24 | Fully operational |
| 检针机 | | 1 | Fully operational |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

### 6.2 List of Process being subcontracted 6.2个被分包的流程列表

| Process Subcontracted过程分包 |
|---|
| 无 |
| |
| |
| |
| |
| |
| |

### 6.3 List of All Main Materials used in past 12 months 6.3列出的所有主要材料使用在过去的12个月

| Material Name | Imported (Y/N) | Country of Origin 原产国 |
|---|---|---|
| 涤纶TT纱 | N | China |
| 涤包包芯纱 | N | China |
| 高弹涤纶弹力纱 | N | China |
| 锦纶弹力纱 | N | China |
| | | |
| | | |
| | | |
| | | |

## 7. Management Systems and Accreditation 7所示。管理系统和认证 (please attach copies of each) （请附上每一份）

| Accreditation | | Certifying Body | Date | Expiry |
|---|---|---|---|---|
| ISO 9001 | No | | | |
| ISO 14001 | No | | | |
| BRC Standard - Consumer Products | No | | | |
| Others (please specify): | | | | |

Is product certification done in terms of selling destination 产品认证是通过销售目标完成的
(e.g., UL for US, CCC for China, CE for Europe…) at the factory? No

| Certifying Body | Date | Expiry |
|---|---|---|
| | | |
| | | |
| | | |

if Yes, please specify

## 8. Quality Control Management 8。质量控制管理

Are QA/QC inspectors independent of production? 质检员是否独立于生产？ Yes
Who does the QC/QA Manager/Supervisor report to? 谁负责qc/qa经理/主 总经理
How many QA/QC in total? 总共有多少个质量控制/质量控制？ 15个

COMPANY CHOP

Name & Signature of Supplier Representative/ Title 供应商代表/名称的名称和签名 Date (mm/dd/yyyy)

COMPANY CHOP

Name & Signature of Factory Representative/Title Date (mm/dd/yyyy)

# DIGITAL PHOTO FORM

| | |
|---|---|
| Report No. | A4669021 |
| Factory | Shanghai Yutuo Knitting Co Ltd |
| Audit Date | Mar 12 &13, 2018 |

| | | |
|---|---|---|
|  |  |  |
| **Photo 1) Facility Name** | **Photo 2) Facility Gate** | **Photo 3) Facility Building** |
|  |  |  |
| **Photo 4) Yarn materials warehouse** | **Photo 5) Accessory warehouse** | **Photo 6) Reject items storage** |
|  |  |  |
| **Photo 7) Knitting workshop** | **Photo 8) Linking workshop** | **Photo 9) Reference sample in knitting** |
|  |  |  |
| **Photo 10) Inspection area** | **Photo 11) Rejected items** | **Photo 12) Metal tools tied on table** |

# DIGITAL PHOTO FORM

| | |
|---|---|
| Report No. | A4669021 |
| Factory | Shanghai Yutuo Knitting Co Ltd |
| Audit Date | Mar 12 &13, 2018 |

**Photo 13) Heat setting workshop**

**Photo 14) Inspection area**


**Photo 15) Rejected items**

**Photo 16) Broken needle record**

**Photo 17) Packing area**

**Photo 18) Metal detector**


**Photo 19) Rejected box**


**Photo 20) Calibration mass**

**Photo 21) Finished good warehouse**

**Photo 22) NC4.7.1 Lighting result on knitting machine**

**Photo 23) NC4.2.2 Packing materials stored on ground**

**Photo 24) NC3.6.2 Some semi-finished goods without identified**

**DIGITAL PHOTO FORM**

| | |
|---|---|
| Report No. | A4669021 |
| Factory | Shanghai Yutuo Knitting Co Ltd |
| Audit Date | Mar 12 &13, 2018 |