



INSPECTION REPORT

Factory Audit

Report No. : H-XXXXXXX

INSPECTION INFORMATION

Client	XXX		
Factory	XXX		
Factory Address	XXX		
Contact Person	XXX	Telephone	XXX
Mobile Phone	XXX	Fax.	XXX
E-mail	XXX	Web:	XXX
Date of Audit	XXX	Auditor(s)	XXX
Audit Stage	<input checked="" type="checkbox"/> Initial Audit <input type="checkbox"/> Follow-up Audit <input type="checkbox"/> Re-Audit (Previous report No.: _____)		
Audit Regulation	GWI-PE-TQA-020-HQT		

Participators from the factory:

Name	Department	Position	Name	Department	Position
XXX	Sales	Sales Director	XXX	Sales	Sales

AUDIT RESULT SUMMARY

Audit Criteria		Standard Score	Actual Score	Percent	Grade
Part 0	General Information				
Part 1	Infrastructure and production machines	35	26	74%	C
Part 2	Production process control	40	26	65%	C
Part 3	Packing, handling and storage	30	21	70%	C
Part 4	Training, knowledge, skill, and experience	30	13	43%	D
Part 5	Inspection/testing and quality control	50	24	48%	D
Part 6	Documentation of management / records control	30	22	73%	C
Part 7	Senior managers and corporate responsibility	30	20	67%	C

OVERALL CONCLUSION (GRADE): D

Remark:

Nil

Approved by HQT Supervisor:

SPECIAL ATTENTION POINTS			
No.	Problem Description	Ma	Min
1	According to factory's internal program file "xxx finished product inspection control program" 5.1.1, "CR:0, Maj 0.4 Min. 0.65" was required, however, "CR 0, Maj 0.4, Min 1.0" was found in the other work instruction sheet "MID finished product inspection standard"	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2	Multi-meter(S/N:xxxxxx) was found on SMT room for IPQC checking, however, no calibrated record was found, And Multi-meter(CAL-xxx) was found on work line for IPQC checking, however, the calibrated record was out of date.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3	One test facility- AOI examines for PCB quality checking was found at the factory, however, the factory had QC visually check PCB quality instead of using this test facility. The factory claimed that the operator of test machine was sent out for operation training due to software update. They would use it after training was finished.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4	No inspection work instruction sheet for Game Console was found at the factory, only inspection work instruction sheet for tablet PC.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

GENERAL COMMENTS	
1	XXX is a private Chinese company founded on April 12, 2012, and they had an office mainly for Game Console research and development. And this company showed some items of Game Console that were developed by them. However, no documented quality system was adopted.
2	And product producing was at another location and the factory name was xxx. It seems the sales director was familiar with both company XXX and XXX. However, he could not provide any evidence to show the relationship between these two companies. The production was performed in company xxx.
3	Factory XXX had set up a documented quality system based on ISO9001, and also based on ISO14000,

FOLLOW UP SUGGESTIONS	
	For factory:
1	The factory was recommended to correct their internal work instruction sheet, to make sure all AQL was suitable.
2	The factory was recommended to calibrate all test facilities in time, to make sure their precision.
3	The factory was recommended to provide enough test facilities for PCB quality checking, and also should use them for PCB checking.
4	The factory was recommended to compile related work instruction sheet for Game Console.
	For client:
1	The production was performed in XXX.
2	The client is recommended to input detailed requirements in the PO, such as all technical specifications, quality requirements, guarantee, and etc.
3	The client is recommended to place a small trial order first.
4	The client is recommended to conduct a During-producing Inspection and Pre-shipment Inspection to make sure bulk goods meet the client's requirements.

Audit details are as follows:

Part 0 General Information

◆ **Manpower:**

Staff	Total number	Percentage	Staff	Total number	Percentage
Manager	5	1.9%	Technical personnel	25	11.9%
Quality control	30	14%	Workers	130	61.9%
Others	30	14%	Total number of staff	210	-

◆ **Production planning per day:**

One shift: 8 hours / per shift Two shifts: hours / per shift Three shifts: hours / per shift

◆ **Production capability:**

Product	History of Production (Year)	History of Export (Year)	Output per Month
MID(tablet PC)	3	3	30Kpcs
Game Console	1	1	10Kpcs

◆ **Production area and workshops:**

Only one production area
 Total 2 production area, details:

Location 1: XXX

Location 2: XXX

◆ **Technical capability of designing the product:**

Design the products independently Design the products jointly Not design any product

◆ **Technical capability of production:**

Produce the products Assemble the products Subcontract the order to other factory

◆ **Main production machines/equipments:**

Machine Name	Numbers	Machine Name	Numbers
Yamaha SMT	4	temperature humidity chamber	1
AOI examines	1		

No.	Check and Audit Points	Grade
Part 1 Infrastructure and Production Machines		
1.1	Is the layout/ buildings of the factory /workshop/warehouse reasonable and benefiting the production?	C
1.2	Do there exist some pollutants like soot, dirt, acid mist and etc. around the factory /workshop /warehouse that affect the production?	B
1.3	Do the workshop/production lines maintain clean, tidy and suitable for the production?	B
1.4	Are electronic communicated apparatus such as telephone, fax and other office apparatus such as computer & photocopy machine available in the factory?	B
1.5	Does the factory have adequate machines/equipment/fixtures for production of the intended products?	C
1.6	Does the factory maintain the machines/equipment/fixtures regularly to ensure their continuing process capability?	B
1.7	Based on observation on-site, are the machines/equipment/fixtures in a good condition?	B
Part 2 Production Process Control		
2.1	Does the factory adopt a proper way to make on-the-spot workers understand the concrete requirements of orders/ plans and the amendments of production?	B
2.2	Does the factory formulate operating instructions for key working process and issue them to related workstations?	B
2.3	Do the operating instructions correctly stipulate the process parameters, product characteristics and workmanship criteria?	C
2.4	Does the factory adopt adequate ways to monitor and control the suitable parameters and product characteristics on key process?	C
2.5	Base on observation on the spot, do workers operate correctly and meet the requirement in the production process?	C
2.6	Are those raw materials, semi-finished products, finished products in workshop arrayed/stocked in good order and carefully protected to avoid any confusion or damage?	C
2.7	Does the factory adopt a suitable way such as marking or labeling to identify the raw materials /semi-finished products/finished products to avoid confusion?	C
2.8	Does the factory adopt a suitable way such as marking or labeling to distinguish this client's raw materials/semi-finished products/finished products/samples from other clients'?	C
Part 3 Packing, Handling and Storage		
3.1	Does the factory use adequate method/material to pack the products to ensure conformance with specified requirements?	C
3.2	Does the factory use proper methods/containers/utensils for handling and delivery of products to prevent damage or deterioration?	B
3.3	Are warehouses kept clean and bulk goods piled up suitably?	B
3.4	Does the factory adopt appropriate methods to prevent the stored goods from improper pressing, crashing, sun burning, leaking, mildewing or insects bite?	C
3.5	Does the factory adopt a suitable way such as making, labeling, etc. to distinguish the specified client's goods from others'?	B
3.6	Does the factory have an appropriate working procedures or methods to control receipt and dispatch process in storage area?	C
Part 4 Training, Knowledge, Skill, and Experience		
4.1	Does the factory have and implement training procedures / plans to monitor the performance of personnel who may affect product quality?	C
4.2	Based on observation or exam on-spot, are those workers well-trained and skillful for the assigned work?	D
4.3	Are the workers with good attitude towards production, quality requirements, inspections and re-work action?	C

Scoring: A=Outstanding=5 B=Good = 4 C=Acceptable =3 D=Below requirement=1 E=Absent or Not-available =0
N= Not Applicable (Not be scored)

No.	Check and Audit Points	Grade
4.4	Has the factory ever provided enough training of product standard and inspection/testing to the Q.C/inspectors?	D
4.5	Based on observation or exam on-spot, do those Q.C/inspectors have suitable knowledge/ability /skill to meet the requirements for their assigned work?	D
4.6	Are the leader of Q.C department and managers of workshop with good attitude towards the 2nd and 3rd party inspection or audit?	B
Part 5 Inspection / Testing and Quality Control		
5.1	Does the factory carry out incoming inspection/testing when they receive the purchased materials and subcontracted products?	C
5.2	Have the factory set up adequate inspect/testing stations in suitable process of production to ensure that the quality of product conformed to the specified requirement before released?	C
5.3	Does the factory designate an adequate number of inspectors to perform the in-process inspection and testing?	C
5.4	Does the factory carry out the final inspection for all batches of products in accordance with the final inspection standard?	C
5.5	Does the factory formulate the final-inspection standard for all products? Are all related parameters/characteristics/criteria and inspection methods stipulated in the standard?	D
5.6	Does the factory ensure that only when the results of final inspection meet specified requirement or standard that the products can be released?	C
5.7	Are the factory equipped with adequate types and quantities of inspection and testing equipments/ apparatus for the incoming, in-process and final inspection?	D
5.8	Are the inspection/ measurement and test equipments used on -site well maintained and calibrated?	D
5.9	When nonconforming products are found, does the factory identify and pick them out immediately?	C
5.10	Does the factory carry out re-inspection/testing for all reworked and repaired products?	C
Part 6 Documentation of Management / Records Control		
6.1	Does the factory have document such as management manual to describe the quality management	B
6.2	Does the factory has document to define the responsibility and authority of the personnel who manage, perform and verify working procedures that may affect quality?	B
6.3	Have the factory established and documented basic management procedures on the key process which may significantly influence the quality?	B
6.4	Does the factory have regular procedures of collecting, filling, filing and maintaining quality records?	B
6.5	Does the factory preserve related quality records (especially those inspection records, nonconforming disposal records, equipment calibration records) in an adequate period?	C
6.6	Are those quality records clear, integrated, veracious and signed by related recorder?	C
Part 7 Senior Managers and Corporate Responsibility		
7.1	Do the senior managers have profound knowledge, experience and ability	C
7.2	Are senior managers with positive attitude towards client's requirements, 3rd party inspection, nonconforming product and corrective action?	B
7.3	Are senior managers with good attitude towards this audit?	B
7.4	Does the factory respond to customer's complaint in time and deal with it correctly?	C
7.5	Is the factory willing to undertake their relevant responsibility if any problem comes up in trade business?	C
7.6	Is the factory willing to indemnify the client's lost if they fail in meeting the client's requirements and the client asks for compensation?	C

Scoring: A=Outstanding=5 B=Good = 4 C=Acceptable =3 D=Below requirement=1 E=Absent or Not-available =0
N= Not Applicable (Not be scored)

PHOTO ATTACHMENT

1 Factory office



1 Office view 1



2 Office view 2



3 Office view 3



4 Office view 4

2 License and certificate



1 Business license



2 tax registration certificate



3 Organization Code Certificate



4 ISO9001 Certificate of registration



5 ISO1400 Certificate of registration 1



6 ISO1400 Certificate of registration 2

03 Warehouse



1 Warehouse office 1



2 Warehouse office 2



3 Raw material warehouse

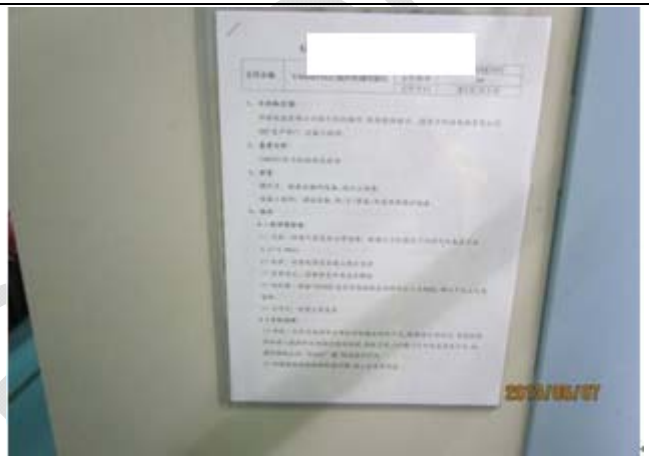


4 Finished product warehouse

04 Workshop



1 SMT workshop 1



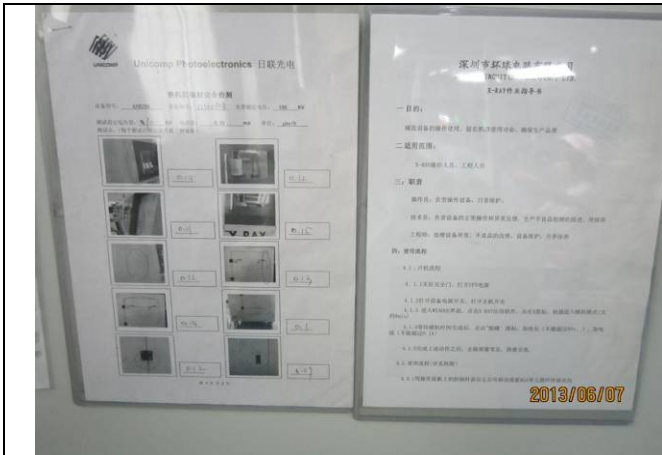
2 Work instruction for SMT machine 1



3 Work instruction for SMT machine 2



4 Work instruction for SMT machine 3



5 Work instruction for SMT machine 4



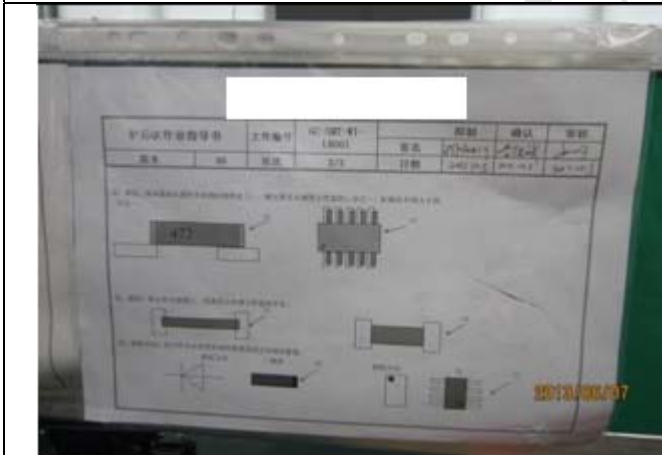
6 Work instruction for SMT machine 5



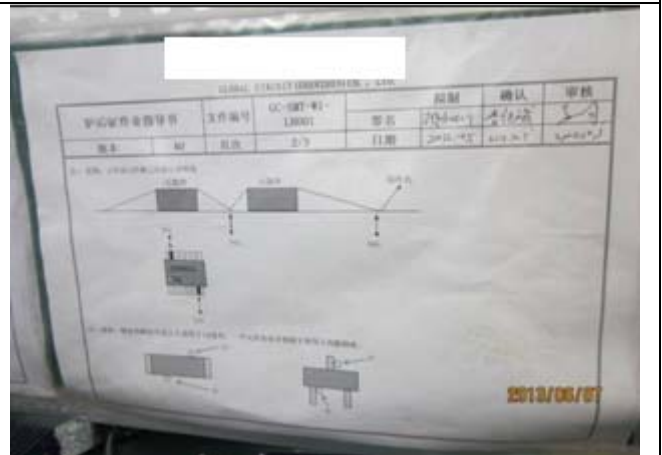
7 Work instruction for SMT machine 6



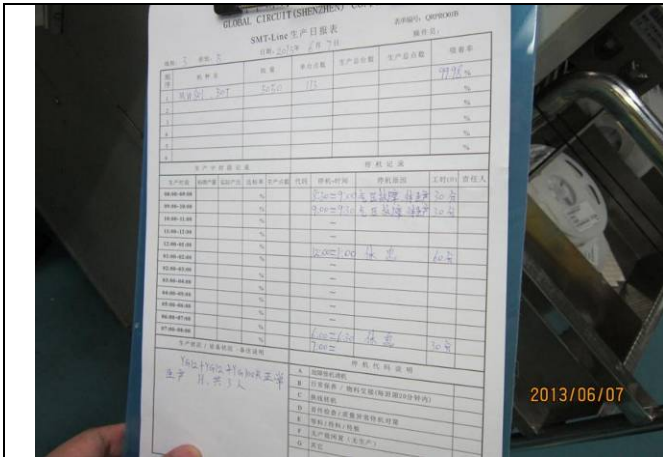
8 Work instruction for SMT machine 7



9 Work instruction for SMT machine 8



10 Work instruction for SMT machine 9



11 Daily producing record



12 SMT daily maintain record



13 Workline 1



14 Workline 2



15 Workline 3



16 Packing

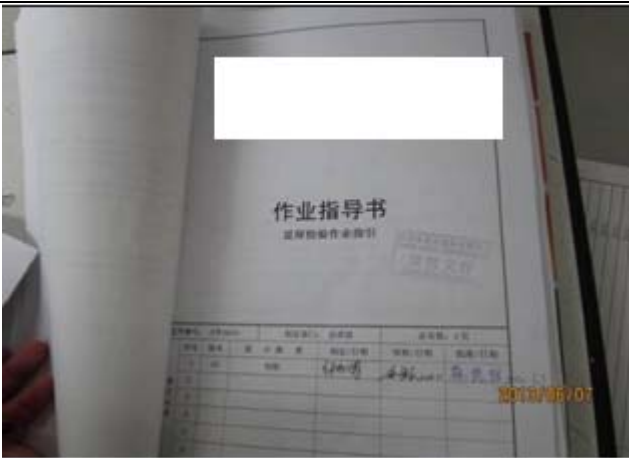
05 QC



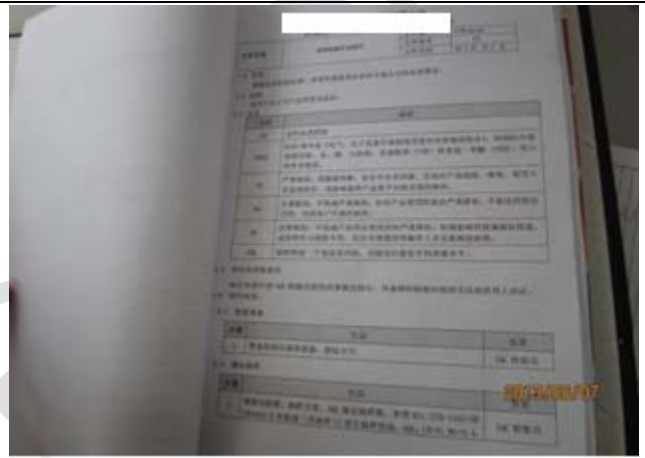
1 IQC



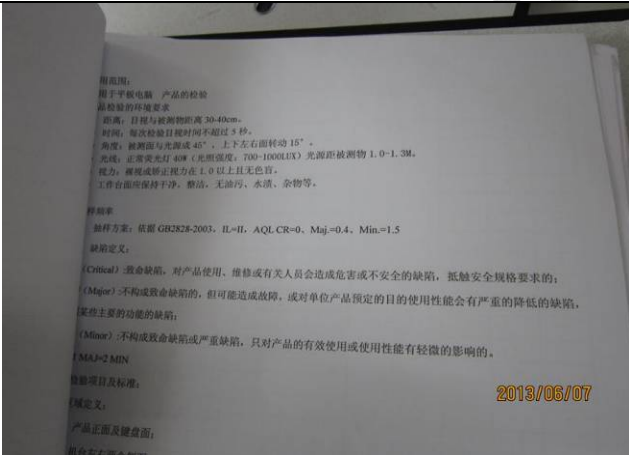
2 IQC record



3 Work instruction for IQC 1



4 Work instruction for IQC 2



5 Work instruction for IQC 3



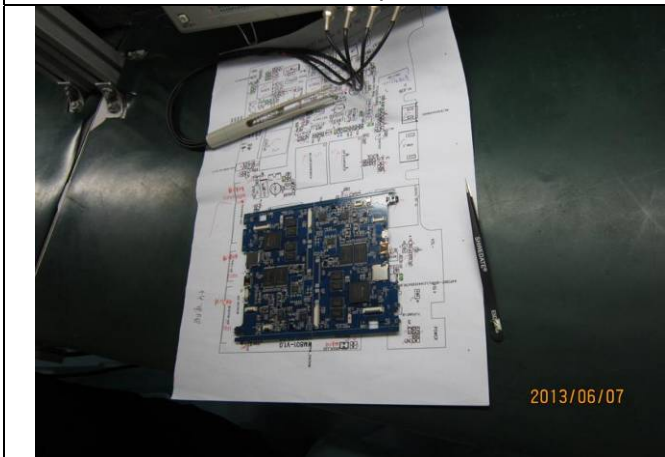
6 SMT first article inspection record 1



7 SMT first article inspection record 2



8 SMT first article inspection record 3



9 SMT first article inspection record 4



10 IPQC daily record 1



11 IPQC daily record 2



12 FQC 1



13 FQC 2



14 Test facility for outside QC



15 temperature humidity chamber



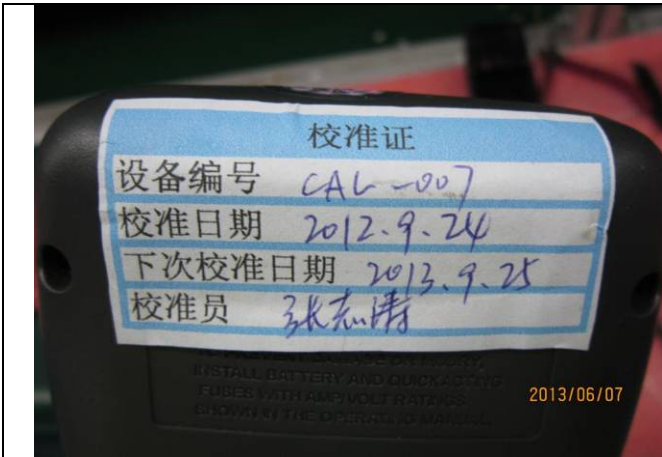
16 Test facility 1



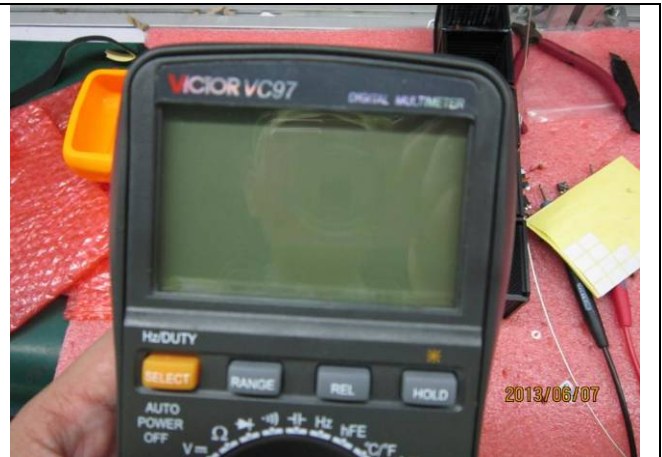
17 Test facility 2



18 Test facility 3



19 Test facility 4



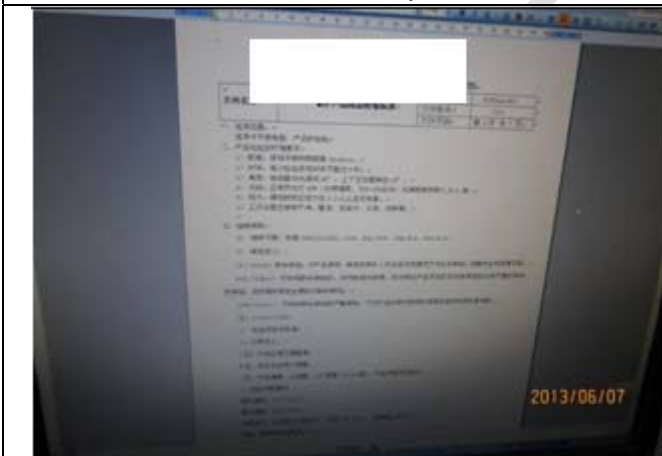
20 Test facility 5



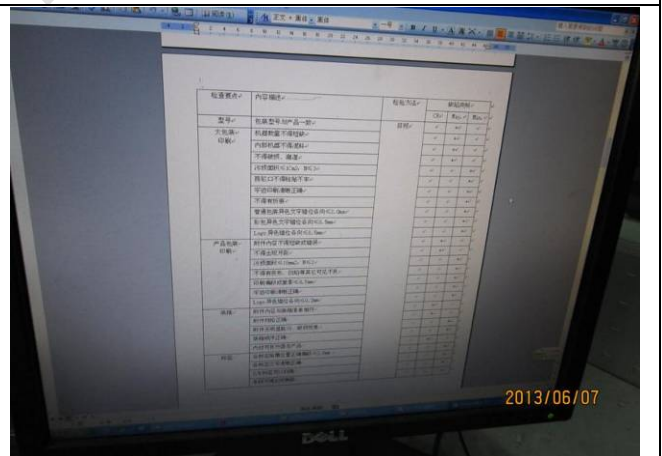
21 Test facility 6



22 Out of date calibrated record



23 Finished product inspection work instruction for table PC



24 Finished product inspection work instruction for table PC

06 Global Circuit Document system



1 organization chart



2 Quality manual 1



3 Quality management procedure files

序号	名称	地址	电话	备注
1	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-29632486/29632858	电阻、电容
2	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-2727197/89724047	电阻
3	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-26655555/86550782	电阻、电容
4	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-83899031/83899032	连接器
5	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-89099035/89099032	电阻
6	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-29643762/29683023	电阻
7	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-83804450/83804453	电阻
8	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-27281865/27281861	LED
9	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-27281865/27281861	电阻
10	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-29632486/29632858	电阻
11	深圳市高特电子有限公司	深圳市宝安区西乡街道西乡一路100号	0755-81898817/26654761	电阻

4 Quality management procedure files

***** End of Report *****

SAMPLE