

**MAXIM'S CATERERS LTD. - SUPPLIER AUDIT PROGRAM**

**AUDIT REPORT**

Date of Audit:	2019.05.28	Report No	EXT-PD01-FC012019052801
Supplier Name		Factory Code	112295-1
Manufacturer Name	歐派客塑膠有限公司		
Address	廣東省汕头市澄海区莲下镇莲南工业区	Country	HK
Audit Unit	Audit Unit	Auditor Name	Antony Li
Audit Type	Re-Audit	Category	Food Contact Materials 食品接触材料
Product Manufactured	一次性塑料餐饮具 ( 杯子 )		

Module	No. of nonconformance			Score
	Critical NC	Major NC	Minor NC	
Module 1 Legal Requirement & Food Safety Foundation System 法例要求和食品安全基礎系統	0	2	11	44.0
Module 2 Factory GMP 工廠GMP	0	1	2	24.3
Module 3 Warehouse & Logistics 倉儲物流	0	0	2	19.0
<b>Total</b>	<b>0</b>	<b>3</b>	<b>15</b>	<b>87.3</b>

GRADING	
91% to 100%	A*
81% to 90%	B
71% to 80%	C
61% to 70%	D
51% to 60%	E
0% to 50%	F

<b>OVERALL GRADING</b>	<b>B</b>
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Name (Approver)	Date
Lawrence Lee	2019.06.10

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AUDIT REPORT

Factory Profile						
Number of staff	75	Factory Size (square meters)	3,300			
Major retail customer	PPG、久野 (日本)、Mechtaff Import and marketing Ltd (以色列)	Turnover of sales	1000万			
Other Remarks:	2014 supplier audit					
Key Personnel			Present During Audit			
Name	Position	QA	Opening Meeting	Site Inspection	Document Review	Closing Meeting
杜秀如	广东省汕头市澄海区莲下镇莲南工业区潜溪大湖片	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Remarks:						

Module 1 Legal Requirement & Food Safety Foundation System 法例要求和食品安全基礎系統		Full Mark	Result	Score Achieved	Remarks
1.1	The company aware and complies with all relevant and current regulation and statutory requirements (country of sale and country of production). It includes all applicable licenses, and legal compliance. 公司了解并遵守所有相关和现行的法例法规要求（销售国家和生产国）。它包括所有适用的许可证和法律合规性。	5.0	Conform	5.0	工业产品生产许可证粤XK16-204-03931，有效期至2023-2-11；营业执照统一社会信用代码91440515690530083W；
1.2	The raw materials, semi-product and finished products complies with all relevant and current regulation and statutory requirements. It included the design and application of finished product labels, and use of sensitive ingredients (e.g. food additives, processing aids). 原材料，半成品和成品符合所有相关和现行法例法规要求。它包括成品标签的设计和应用，以及	5.0	Conform	5.0	原材料，半成品和成品符合食品安全法、香港和出口国法律法规要求，包括成品标签的设计和应用。
1.3	The most current and updated product /service specifications with Maxim's shall be maintained and followed at site. 现场保持及根据已更新和正确的美心产品/服务规格。	3.0	Conform	3.0	提供美心产品规格说明书。
1.4	Specifications on critical raw material shall be retained. Food grade evidence for direct food contact packaging materials shall be retained. 保留关键原材料的规格。保留直接食品接触包装材料的食品级证据。	3.0	Minor	2.0	提供的PP和PS树脂第三方检测报告日期为2018年1月31日，未及时更新送检。
1.5	Company shall provide appropriate training to existing and new employees with records retained. The documented training programs should cover all appropriate topics to ensure competence of staffs. (e.g. hygiene training, HACCP, allergen) 公司应为现有和新员工提供适当的培训，并保留记录。记录在案的培训计划应涵盖所有适当的主题，以确保员工的能力。（例如卫生培训，HACCP，过敏原）	3.0	Conform	3.0	查看2019年度培训计划和记录： 20190327车间卫生、着装物品要求培训，抽查员工朱红曼、杨海飞；20190307注塑作业质量要求培训，抽查员工王秀华； 20190420ISO9001质量管理体系培训，抽查员工李雪芬、盛冰艳。
1.6	The senior management shall regularly review the food safety and quality management system for continuous improvement. It can be by the means of combination of meeting, documented policy, objectives, report or email. 高级管理层应定期审查食品安全和质量管理体系，以便持续改进。它可以通过会议，记录的政策，目标，报告或电子邮件的方式实现。	3.0	Conform	3.0	质量方针：以市场为基础，以质量求生存，以技术求发展，以管理求效益。 质量目标：成品抽检合格率大于98%，客户满意度大于90分，每月统计目标达成情况，均达成。2019年5月20日开展管理评审，报告EPK/FM-GM-009-01，管理评审提出改进要求：引进模具制作设备，模具实现内部制作，加强车间和仓库6S，确保厂房建设期间的生产现场符合要求。

1.7	The senior management shall define a company organization chart demonstrating the management structure. A representative (with deputy) shall be appointed with documented clear job responsibility to accountable to Quality & Food Safety Management System. 高级管理层应定义一个展示管理结构的公司组织结构图及分配明确的工作职责，应任命代表（包括代理人）对质量和食品安全管理体系负责。	1.0	Conform	1.0	李纯燕，担任管理者代表，品质部主管。
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1.8	The company shall have a procedure to handle customer complaints. Complaints records were retained. Complaints were investigated and corrective actions were implemented. Maxim's complaints should be documented at site if applicable. 公司应有处理客户投诉程序并保留投诉记录。对投诉进行了调查并实施了纠正措施。美心的投诉记录应在现场(如适用)。	3.0	Conform	3.0	客户投诉处理记录EPK/FM-QC-010-01：20181214久野贸易反馈ABS水壶按钮不灵敏，有原因分析、预防纠正措施和跟踪。2019年末收到美心方面的投诉，客户投诉处理程序EPKWI-SD-001
1.9	The company shall have an effective internal audit and/or verification of food safety and quality management system (including HACCP plan) with records retained. 公司应对食品安全和质量管理体系（包括HACCP计划）进行有效的内部审核和/或验证，并保留记录。	3.0	Conform	3.0	内审报告：20190511内审，有内审计划、内审报告，提出两个不符合项，有进行纠正和验证。
1.10	Company shall have documented procedure to manage incidents and potential emergency situation that affect food safety. It includes contingency plan for alternative suppliers. 公司应有文件化的程序来管理影响食品安全的事故和潜在的紧急情况。它包括替代供应商的应急计划。	3.0	Minor	2.0	应急准备和相应控制程序EPKWI-HR-009，包括化学品泄漏、停水、停电、台风、洪水、暴雨等紧急情况。文件化的程序未包括替代供应商的应急计划。
1.11	The company implement document control system. Only correct version of document is available. Working aids available if applicable. 公司实施文件控制系统。只有正确版本的文档可用。提供适当的工作辅助(如适用)。	3.0	Conform	3.0	文件控制程序EPKQP-706，文件可受控。
1.12	There shall be a procedure to handle non-conformity in the system relating to food safety. The root cause analysis, corrective action including correction shall be applied. Records should be maintained. 系统中应有一个处理与食品安全有关的的不合格程序。根源分析，应采取纠正措施(包括纠正)。应保持记录。	5.0	Conform	5.0	纠正措施控制程序EPKQP-1001。查看3月和4月纠正措施记录，例如：20190304，48C产品拉花比例为25%，让步接收挑选使用，保持记录EPK/FM-QC-007-01。
1.13	Non conformity material handling & disposal procedure was effectively maintained. A designated person was defined for handling NC products. 有效维护不合格材料的处理和处置程序。有指定人员处理不合格产品。	5.0	Conform	5.0	不合格品控制程序EPKQP-808。不合格品进行报废，形成记录，查看2019年5月份记录，指定专人处理不合格产品。
1.14	The company representatives aware any relevant legal non-compliance, product failure, relevant recall situation should report to Maxim's representative if relevant. 公司代表了解任何相关的法律违规行为，产品故障，相关召回情况应向美心代表报告相关情况。	1.0	Conform	1.0	公司代表了解相关法律违规行为，相关召回应向美心代表报告。
1.15	The senior management shall ensure the non-conformity identified in last audit was corrected. Last audit report and/or findings shall be available. (For non-approval audit) 高级管理层应确保纠正上次审核中发现的不合格情况。应提供上次审计报告和/或调查结果（对于非审批审核）	3.0	Minor	2.0	管理评审报告对于上一次客户审核不合格情况整改情况未进行回顾和评审。
1.16	Product recall/withdrawal procedure shall be documented. It includes detail about communication with Maxim's 有形成文件的产品召回/撤回程序。包含有关与美心通信的详细信息。	5.0	Conform	5.0	产品召回控制程序EPKWI-SD-002，召回/撤回程序包含与美心通信的详细信息。
1.17	A traceability system was in place which was able to identify Raw Material, Work-in-progress, Finished Product throughout the production. 建立了可追溯系统，能够在整个生产过程中识别原材料，半制品，成品。	5.0	Conform	5.0	建立可追溯系统，标识和可追溯性控制程序EPKQP-805，审核期间生产过程查看原料、半成品、成品标识可满足追溯要求。

1.18	Mock traceability (including mass balance) which initiated by auditor shall be successful during audit. It shall across raw materials to finished products to Maxim's. 在审核期间，成功完成由审核员发起的模拟可追溯练习（包括物料平衡）。它应该从原材料追溯到成品，直到交付美心。	3.0	Conform	3.0	审核期间进行可追溯模拟演练，美心订单合同号20181208A，90000个，20181217至20190123完成订单生产，20190131发货至山城集团，原料树脂批号PP N11191500161，追溯和物料平衡符合要求。
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1.19	Raw materials (food/non-food) suppliers shall be evaluated regularly and records were kept. Approval of supplier were documented. 应定期评估原材料 (食品/非食品) 供应商并保存记录。供应商的批准记录在案。	3.0	Minor	2.0	合格供方名录EPKFM-PMC-001, 20190510杜状松批准。色粉:澄海江记公司, 树脂原料:新财盈贸易, 袋子:海山包装。未能提供包装内袋的供应商资质证件和评估记录。
1.20	Service and facility monitoring suppliers shall be evaluated regularly and records were kept. Approval of supplier were documented. 应定期评估服务和设施监测供应商并保存记录。供应商的批准记录在案。	3.0	Conform	3.0	消杀公司(澄海区凯光虫害防治公司)、第三方实验室合同等定期评审并保留记录, 集装箱货柜运输由客户山城集团统一安
1.21	Site surrounding shall not poses risk of contamination to product. 外部环境不应有产品污染的风险。	3.0	Conform	3.0	外部环境无产品污染风险。
1.22	Building fabric (including walls, floors, windows, ceilings, drainage, overhead structures and pipelines) shall be designed, constructed and maintained properly, and with sufficient lighting. 建筑结构(包括墙壁、地板、窗户、天花板、排水系统、高架结构和管道)的设计、建造和维护应	3.0	Minor	2.0	一楼注塑车间更衣室天花板有蜘蛛丝, 一楼注塑车间角落有卫生死角。
1.23	The company shall monitor the temperature of critical cooling & heating facility regularly and keep records. It includes chiller, freezer, and air conditioned room. 公司应定期监控关键冷却和加热设施的温度并保存记录。包括冷冷却箱、冷藏室和空调房。	3.0	Conform	3.0	注塑温度监控记录EPK/FM-PE-012-01, 查20180523、20190527、20190528。
1.24	Monitoring devices critical to food safety shall be identified and labelled. A calibration plan shall be provided and records of calibration kept. 对食品安全的关键监控设备应识别和标记。应提供校准计划并保留校准记录。	3.0	Conform	3.0	游标卡尺、钢卷尺、扭力计、电子天平, 校准日期20190426。
1.25	Preventive maintenance plan of machines shall be documented. Relevant maintenance records shall be documented. Food grade lubricant and glue were used if applicable. 机器的预防性维护计划应记录在案。相关的维修记录应记录在案。使用食品级润滑剂和胶水(如适用)。	3.0	Conform	3.0	设备维护保养规范20181230, 设备维护保养记录EPK/FM-PD-003-01, 2019年3月至5月注塑机保养记录等。
1.26	Equipment shall be maintained in good condition. Idled spare parts, tools and equipment are stored properly. Temporary repairs, if allowed, shall not poses risk to product contamination. 设备应保持良好的状态。闲置的备件、工具和设备妥善存放。临时维修不应对产品污染构成风险	3.0	Conform	3.0	设备保持良好的状态。
1.27	A cleaning and disinfection plan and procedure shall be documented. It shall cover the facility, utilities and equipment. The effectiveness of cleaning procedure is verified. 清洁和消毒计划和程序将被记录在案。它应涵盖设施、公共设施和设备。对进行清洁过程的有效性验证。	3.0	Conform	3.0	建立卫生清洁计划EPKWI-HR-005, 每日班前班后对生产设施设备进行清洁消毒, 抹布清洁, 75%酒精消毒。由品管人员对清洁过程有效性进行验证, 每日卫生检查记录表EPK-FM-HR-012-01, 抽查2019年3月至5月记录, 符合要求。
1.28	Food contact surface, pipelines, and processing equipment shall be cleaned and not cause product contamination. 食品接触面、管道和加工设备应进行清洗和不会导致产品污染。	3.0	Conform	3.0	食品接触面为不锈钢和食品级塑料材质, 进行有效清洗。

1.29	<p>All water (including potable water, steam, ice and any type of water used in food contact, as ingredients and used in cleaning and sanitizing operations) shall not pose a risk of contamination.</p> <p>所有的水 ( 包括饮用水 · 蒸汽 · 冰和任何类型的食品接触用的水 · 如成分和在清洁和消毒操作中使用 ) · 不得造成污染的风险。</p>	0.0	NA	NA	<p>不适用。进入车间前的洗手消毒使用市政管道自来水。产品接触面及设备的清洁消毒采用气枪吹和75%酒精消毒，生产过程不需要用到水。</p>
1.30	<p>Garbage shall be stored in covered bin or designated container. Garbage is removed from the workplace in a timely manner.</p> <p>垃圾应存放在有盖的垃圾桶或指定的容器。垃圾及时从工作场所清除。</p>	3.0	Conform	3.0	<p>垃圾存放在带盖垃圾桶，及时清除。</p>



1.31	All chemicals (including cleaning chemicals, pest control and process-aid chemicals) shall be properly labelled, stored and provided with specification and MSDS. 所有化学品 (包括清洁化学品·害虫控制和加工助剂化学品) 应妥善贴上标签·储存并提供规格和MSDS。	3.0	Minor	2.0	化学品包括洗洁精·酒精·残杀威(杀虫剂)有MSDS,标签标识和储存符合要求。残杀威由虫控公司管理·不放在公司存储。注塑车间角落存放有脱模剂·防锈剂·金属净洗剂·未当做有毒有害品管控。
1.32	Personal hygiene requirements shall be available and followed by employees, visitors and contractors. Locker and dressing room shall be available. 应提供个人卫生管理程序予员工·访客和承包商遵守。提供储物柜和更衣室供可用。	3.0	Conform	3.0	个人卫生控制程序·储物柜和更衣室可用。
1.33	Smoking, chewing, eating and drinking is only allowed in designated areas. 吸烟·咀嚼·进食和饮水只允许在指定区域进行。	5.0	Minor	4.0	审核现场发现内包装间饮水区有员工带食物进入。
1.34	Cosmetics and fashion accessories were restricted in production areas. 员工在车间不可使用化妆品和时尚配。	3.0	Minor	2.0	三楼包装车间发现多位员工佩戴首饰·网帽穿戴不规范·漏出头发。
1.35	Handwashing facilities (basin with liquid/foam soap, hand-drying facilities) shall be suitable and sufficient. Staff performs handwashing at timely manner. 应提供合适和充足的洗手设施(洗手盆·液体/泡沫肥皂·干手设施)。工作人员及时进行洗手。	3.0	Minor	2.0	感应水龙头·洗手液·酒精消毒器·干手器。一楼更衣室酒精消毒器感应不灵敏·三楼更衣室酒精消毒器维修中。
1.36	Toilets shall be maintained sanitary and provided with hand-washing facilities. It shall not be accessed directly into production or storage areas. 厕所应保持卫生并配有洗手设施。它不能直接进入生产或存储区域。	3.0	Major	0.0	一楼生产车间更衣洗手区域设置有一个卫生间·卫生情况较差·有较大的异味。
1.37	Canteen shall not be accessed directly into production or storage areas. 食堂不能直接进入生产或存储区域。	3.0	Conform	3.0	食堂不能直接进入生产或存储区域。
1.38	The company shall have a procedure to prohibit employees working directly with product and material processing when suffer from symptoms of infection, disease or condition. Employees shall have medical check if required by law. 公司应制定程序·禁止患有感染·疾病或病症症状的员工直接从事产品和材料加工。如果法律要求·员工应进行体检。	5.0	Conform	5.0	制定个人卫生控制程序EPK-FM-PG-003-015,抽查2019年5月份个人卫生检查记录·符合要求。
1.39	Adequate space shall be kept by company between products, materials, processing equipment and factory walls to facilitate cleaning and pest control. 公司应在产品·材料·加工设备和工厂墙之间留有足够的空间·以便于清洁和防治虫害。	3.0	Conform	3.0	产品·设备与墙壁之间留有足够空间便于虫害消杀。
1.40	Pest control treatment shall be in place with records kept. The treatment was either contract the service of a competent and licensed pest management organization or done by internal trained staff. Rodenticides must not be used in food processing and storage area. 应进行害虫防治处理并保存记录。防治方法是与合格的有执照的害虫防治组织签订合同·或由内部培训的工作人员完成。杀鼠剂不得用于食品加工和储存区域	3.0	Minor	2.0	澄海区凯光白蚁防治服务点·每个月来公司1-2次·未能提供相应的资质证件。

1.41	<p>Company shall install necessary pest control device (e.g. bait station, insect-killing device) to avoid and eliminate pest infestation. Those devices should be located and maintained to prevent contamination risk to product. Electrical fly killer installed in production area is not allowed.</p> <p>公司应安装必要的害虫防治装置 ( 如诱饵站 · 灭虫装置 ) · 以避免和消除虫害 · 应定位和维护这些设备 · 以防止对产品的污染风险 · 不允许在生产区域安装电击式灭蝇灯 ·</p>	3.0	Major	0.0	<p>诱捕灯 · 诱饵站 · 抽查2019年5月记录 · 一楼生产车间和3楼包装车间的灭蝇灯未及时维护和清理 · 且是电击式灭蝇灯 · 有很多蚊虫尸体 · 存在污染产品的风险 ·</p>
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1.42	There is no evidence of pest activity observed onsite. 现场没有观察到的害虫活动的证据。	5.0	Minor	4.0	一楼注塑车间发现有小飞虫、蜘蛛。
		137.0			
			120.0		

Module 2 Factory GMP 工廠GMP		Full Mark	Result	Score Achieved	Remarks
2.1	The process flow (including people flow and material flow) shall be designed properly to prevent product contamination and /or damage. 工艺流程（包括人流和物流）应适当设计，以防止产品污染和/或损坏。	3.0	Major	0.0	玩具和食品用餐饮具共用一个内包装车间，工艺流程容易造成交叉污染。审核现场在食品用容器包装生产线周边发现有弹珠等玩具物料在生产结束后未及时清线。
2.2	Door and windows shall be closed and/or screened and gap not larger than 6mm to prevent pest entry. 门和窗户应保持关闭和/或有滤网，缝隙不大于6毫米，以防止蚊虫进入。	3.0	Conform	3.0	门和窗户保持关闭，有安装纱网。
2.3	Ventilation system shall be maintained without poses risk to product. If ready-to-eat high risk product applies, it should be positive air pressure from outside or filtered air should be supplied.	3.0	Conform	3.0	配备有排风扇等通风设施。
2.4	Air or other gases (including compressed air) which directly in contact with products shall not pose a risk for contamination. 与产品直接接触的空气或其他气体（包括压缩空气），不得造成污染风险。	0.0	NA	NA	没有使用会与产品直接接触的压缩空气
2.5	Glove policy is in place and suitable use. 手套政策到位，适合使用。	3.0	Minor	2.0	使用的手套为棉纱手套，无法有效进行消毒，不适合生产使用，虽然每日进行更换。
2.6	Employees, visitors and contractors were dressed appropriate workwears in production areas, and in proper personal hygiene. Clothing provided by the company should not be stored in the same locker with personal clothing. 员工、访客和承包商在生产区域穿着合适的工作服，并保持适当的个人卫生。公司提供的服装不应与个人服装存放在同一个储物柜中。	3.0	Conform	3.0	员工着装合适的工作服，保持适当的个人卫生。
2.7	Laundry shall be contracted to a reputable company. Company self-laundry is allowed provided that it is controlled. Home laundry is only allowed with low risk product and non ready-to-eat food product 应与信誉良好的洗衣公司签订合同。公司可内部洗衣但需控制。低风险产品和非即食产品的工厂，可允许员工在家洗衣。	3.0	Conform	3.0	公司内部洗衣，清洗后紫外灯消毒。
2.8	Monitoring of incoming materials for matching specification shall be based on risk assessment. Records shall be maintained. 根据风险评估，监测进料的规格验收。应保持记录。	3.0	Minor	2.0	抽查2018年12月份的PP树脂、PS树脂、色粉的到货检验报告EPK/FM-QC-001-01，未记录产品批次号信息，未索取原辅料厂家提供的批次检验报告和进境货物检验检疫合格证明。

2.9	There shall be a positive release procedure for incoming materials. Records shall be maintained. 进货材料应有发放程序。应保持记录。	3.0	Conform	3.0	仓库通过品管的验收报告作为物料能否方向的依据，抽查20181229PE450树脂、20181210色粉、20181205PS1841树脂，保持有记录，放行有效受控。
2.10	A finished product inspection program shall be in place with records retained. 有成品检验计划，并保留记录。	3.0	Conform	3.0	制定产品检验计划，以内部检验为主，外部第三方实验室检测为辅，抽查内部检测报告EPK-FM-PG-003-015：121L ppmilk盖，20190122检验合格；127 pp杯，20190124检验合格；127L ppmilk TEA盖，20190115检验合格。抽查外部测试报告，检验报告sgs,报告日期20180713，报告编号CANEC1813181201，检验包括苯乙烯单体残留等项目，结果合格。
		27.0			
			22.0		

Module 3 Warehouse & Logistics 倉儲物流		Full Mark	Result	Score Achieved	Remarks
3.1	Vehicle and equipment used shall not be posed a risk for product contamination. For examples, diesel-powered handling equipment shall not be used in indoor. Forklift truck battery chargers must be installed in a dedicated, well ventilated area away from the goods storage area. 车辆和设备的使用，不得用于造成产品污染的风险。例如，不得在室内使用柴油动力处理设备。叉车	3.0	Conform	3.0	仓库使用手动叉车，专用。
3.2	Cleaning shall be planned and conducted for equipment and vehicles. It included the fan coils for trucks. 对设备和车辆进行有计划的清洗。它包括卡车的风机盘管	3.0	Conform	3.0	物流运输车辆为外包，有对运输车间卫生进行检查。
3.3	Planned maintenance systems shall be in place for vehicles and equipment. Records shall be maintained. 车辆和设备应有计划的维护系统。应保持记录。	3.0	Conform	3.0	运输委托第三方货运公司
3.4	Monitoring of incoming materials for matching specification shall be based on risk assessment. Records shall be maintained. 根据风险评估，监测进料的规格验收。应保持记录。	0.0	NA	NA	由品管部负责
3.5	There shall be a positive release procedure for incoming materials. Records shall be maintained.	0.0	NA	NA	由品管部负责
3.6	The quality of pallet shall be under control. No wooden pallet is allowed in open food processing areas, no significant damage of pallets used in warehouse and production areas. 托盘的质量应受到控制。在开放式食品加工区域不允许使用木托盘，在仓库和生产领域使用的托盘没有显著损害。	3.0	Conform	3.0	统一使用塑料栈板，有效维护。
3.7	Appropriate material temperature and humidity control shall be in place based on specification. 材料的温度和湿度，应根据规范进行适当的控制。	0.0	NA	NA	仓储过程要求常温常压，没有温度和湿度要求。
3.8	If temperature or humidity control is required, it shall be monitored and records maintained. Non-working days shall also be considered. 如果需要控制温度或湿度，应对其进行监控并保持记录。非工作日也应考虑。	0.0	NA	NA	仓储过程要求常温常压，没有温度和湿度要求。
3.9	The materials shall be stored off-floor and well protected. 材料应離地存放并妥善保护。	3.0	Minor	2.0	2楼原料库检查发现三袋已拆封的树脂原料放置在地板上。
3.10	The storage of materials shall be maintained to minimize the product contamination. All products shall be protected from condensation, sewage, dust, dirt, chemicals or other contaminants. 材料的存储应保持，以尽量减少产物的污染。应保护所有产品不受冷凝，污水，灰尘，污垢，化学品或其他污染物的影响。	3.0	Conform	3.0	材料的存储应保持，以尽量减少产物的污染。应保护所有产品不受冷凝，污水，灰尘，污垢，化学品或其他污染物的影响。
3.11	The factory shall have a system ensure products are used in correct order for materials rotation.	3.0	Minor	2.0	二楼仓库存放有原料、半成品，摆放较为混乱。
3.12	Loading and unloading operations shall be conducted as to minimize product contamination and maintain product temperature (within the specified limits). It shall include bulk carrier if applicable. 装载和卸载操作应进行应尽量避免产品污染并保持产品的温度（在指定限度内）。它应包括散货船	0.0	NA	NA	装载和卸载时对温度和时间没有特别要求。

3.13	If non-dedicated trucks are used, loading shall be arranged in a condition that cross contamination (including tainting) is minimized. 如果使用非专用车，则应在交叉污染（包括串味）最小化的条件下进行装载。	0.0	NA	NA	使用专用车。
3.14	The factory shall inspect the temperature (if applicable) and cleanliness of trucks/trailers before loading of finished goods, and keep records. 工厂在装载成品前应检查卡车/拖车的温度（如适用）和清洁度，并保存记录。	3.0	Conform	3.0	装柜卫生检查EPK/FM-PMC-025-01，查看2019年3月记录，王富才检查，保持记录包括有柜号和封签号，卫生情况。
3.15	Cross-docking shall be taken place to minimize product contamination and maintain integrity according to specification. 应根据规格进行直接换装，以尽量避免产品污染和保持完整性。	0.0	NA	NA	产品直接进集装箱出口，不用换装。
3.16	A policy shall be defined for customer return or rejection. Where returns are accepted, handling procedure shall define based on risk. 有关客户的退货或拒绝收货，应订下措施。如果接受退货，应根据风险确定处理程序。	3.0	Conform	3.0	根据召回程序执行评估退货产品。
3.17	If 3PL is involved (including the company itself is 3PL), a current version of the flow diagram shall be available for all logistical services. In the event of any change the flow diagram shall be updated. The flow must accurately reflect the logistic services undertaken and include any outsourced. 如果涉及第三方物流（包括公司本身是第三方物流），则应为所有后勤服务提供当前版本的流程图。如果发生任何变化，应更新流程图。流程必须准确反映所承担的物流服务，包括任何外包。	3.0	Conform	3.0	运输车辆委托第三方乐帆运输公司，物流服务合同由山城集团与物流公司签订。
		30.0			
			28.0		

Total Number of Clauses: 69

Maximum Score: 194.0

Total Score Achieved: 170.0

**MAXIM'S CATERERS LTD. - SUPPLIER AUDIT PROGRAM**

**CORRECTIVE ACTIONS AND IMPROVEMENT PLAN**

Supplier Name		Report No	EXT-PD01-FC012019052801
Factory Name	歐派客塑膠有限公司	Date of Audit:	2019.05.28
Audit Company	Maxim's Caterers Limited (Hong Kong)	Audit Type	Re-Audit
Auditor Name	Antony Li	Audit Checklist	CHECKLIST_1

Audit Clause Number	Result	Non-conformances	Action required	Date to be completed	Remarks
1.4	Minor	提供的PP和PS树脂第三方检测报告日期为2018年1月31日，未及时更新送检。			
1.10	Minor	应急准备和相应控制程序EPKWI-HR-009，包括化学品泄漏、停水、停电、台风、洪水、暴雨等应急情况。文件化的程序未包括替代供应商的应急管理评审报告对于上一次客户审核不合格情况整改情况未进行回顾和评审。			
1.15	Minor	合格供方名录EPKFM-PMC-001，20190510杜状松批准。色粉：澄海江记公司，树脂原料：新财盈贸易，袋子：海山包装。未能提供包装内袋的供应商资质证件和评估记录。			
1.22	Minor	一楼注塑车间更衣室天花板有蜘蛛丝，一楼注塑车间角落有卫生死角。			
1.31	Minor	化学品包括洗洁精、酒精、残杀威（杀虫剂）有MSDS,标签标识和储存符合要求。残杀威由虫控公司管理，不放在公司存储。注塑车间角落存放有脱模剂、防锈剂、金属净洗剂，未当做有毒有害审核现场发现内包装间饮水区有员工带食物进入。			
1.33	Minor	三楼包装车间发现多位员工佩戴首饰，网帽穿戴不规范，漏出头发。			
1.34	Minor	感应水龙头、洗手液、酒精消毒器、干手器。一楼更衣室酒精消毒器感应不灵敏，三楼更衣室酒精消毒器维修中。			
1.35	Minor	一楼生产车间更衣洗手区域设置有一个卫生间，卫生情况较差，有较大的异味。			
1.36	Major	澄海区凯光白蚁防治服务点，每个月来公司1-2次，未能提供相应的资质证件。			
1.40	Minor				



MAXIM'S CATERERS LTD. - SUPPLIER AUDIT PROGRAM

CORRECTIVE ACTIONS AND IMPROVEMENT PLAN

Supplier Name		Report No	EXT-PD01-FC012019052801
Factory Name	歐派客塑膠有限公司	Date of Audit:	2019.05.28
Auditor Name	Antony Li	Audit Checklist	CHECKLIST_1

Audit Clause Number	Result	Non-conformances	Action required	Date to be completed	Remarks
1.41	Major	诱捕灯，诱饵站，抽查2019年5月记录。一楼生产车间和3楼包装车间的灭蝇灯未及时维护和清理，且是电击式灭蝇灯，有很多蚊虫尸体，存在污染产品的风险。			
1.42	Minor	一楼注塑车间发现有小飞虫、蜘蛛。			
2.1	Major	玩具和食品用餐饮具共用一个内包装车间，工艺流程容易造成交叉污染。审核现场在食品用容器包装生产线周边发现有弹珠等玩具物料在生产结束后未及时清线。			
2.5	Minor	使用的手套为棉纱手套，无法有效进行消毒，不适合生产使用，虽然每日进行更换。			
2.8	Minor	抽查2018年12月份的PP树脂、PS树脂、色粉的到货检验报告EPK/FM-QC-001-01，未记录产品批次号信息，未索取原辅料厂家提供的批次检验报告和进境货物检验检疫合格证明。			
3.9	Minor	2楼原料库检查发现三袋已拆封的树脂原料放置在地板上。			

**MAXIM'S CATERERS LTD. - SUPPLIER AUDIT PROGRAM**

**CORRECTIVE ACTIONS AND IMPROVEMENT PLAN**

Supplier Name		Report No	EXT-PD01-FC012019052801
Factory Name	歐派客塑膠有限公司	Date of Audit:	2019.05.28
Auditor Name	Antony Li	Audit Checklist	CHECKLIST_1

Audit Clause Number	Result	Non-conformances	Action required	Date to be completed	Remarks
3.11	Minor	二楼仓库存放有原料、半成品，摆放较为混乱。			
Findings accepted by supplier representative			Supplier representative signature		Date
Findings proposed and found by auditor			Auditor's signature		Date
Action set by Supplier's representative			Supplier representative signature		Date
Agreed by Maxim's representative			Maxim's representative signature		Date