CATH KIDSTON VENDOR ASSESSMENT AUDIT

The Cath Kidston vendor assessment programme is designed for assurance that a factory is able to manufacture products in the volume required, within the timescale necessary and at an appropriate level of quality standards. Supply chain partners are required to fully comply with all applicable local legal requirements, worker welfare and health and safety standards and the Cath Kidston corporate code of conduct.

A Cath Kidston Vendor Assessments is an objective and credible assessment of supply chain conditions, providing valuable guidance on preventive and corrective actions, reducing risk of legal sanctions and adverse public exposure.

1.0 Assessment Procedure & Requirements

Our assessors collect and compare data from observational tours, examination of documents, and conversation with factory management and employees. Upon completion of the visits, our assessors will communicate their findings to factory management and complete the CAP with the factory management.

The following is a general outline of the audit procedures. The actual audits do not necessarily follow this order. However all steps as indicated below are completed during the audit as applicable. In addition if further steps or documents are needed to ensure a complete understanding of the factory situation, UL-STR will request the factory to provide all such information as necessary. Your full cooperation is appreciated to ensure a smooth and beneficial audit for all parties involved.

In order to facilitate the most effective outcomes of visit we invite senior factory management representative be participate during this audit. The personnel involved should have full knowledge of the factory operation and the authority to assist UL-STR during the audit process. In addition, the management involved should have the authority to initiate changes and corrective actions and are empowered to sign the Corrective Action Plan (CAP).

The facility management team present throughout the day is to include at the very least the quality manager, the production manager, personnel manager, the designated H&S manager and the compliance manager (if applicable).

These individuals will be asked a series of questions regarding production capacity, quality system, machines, lead times, hiring practices, and payroll records.

2.0 Assessment Outline

Assessors arrive at the factory and provide their business cards and identification badges upon entry. Please be sure to notify your entry security guards in advance of their visit.

Audit is conducted by UL-STR quality division personnel and will take in general one full working day. UL-STR and Cath Kidston reserve the right to extend the engagement time, which will be communicated with the Vendor and Facility management in advance.

The assessment team will be proficient in the manufacturers and employees local language or will arrange appropriate means to cover additional language requirements. Should the facility employ foreign or imported workers, the facility is required to advise all languages and dialects spoke by management and employees in the Vendor Assessment Audit Request Form.

Assessors will hold an opening meeting with the factory's designated management personnel of authority, quality, production and personnel managers, and any other managers you wish to have present. During this meeting, the assessors will describe the audit process and division of responsibilities:

3.0 Quality Area

3.1 Key Activities conducted by UL-STR staff during the audit

- Company Organization
  Background information of the factory, to understand organizational structure, capacities & lead time

- Facilities
  To check whether the factory is equipped to manufacture this type of product.

- Quality Control system
  The factory shall establish, document, implement and maintain a quality management system and continually improve its effectiveness.

- Incoming inspection
  The factory shall ensure control over all the outsourcing process & incoming materials to conformity with the client & factory requirement. Control of such outsourced processes & incoming materials shall be identified within the quality management system.

- In-process Quality Control
  The factory shall establish, document, implement and maintain a quality management system and continually improve its effectiveness.

- Final Inspection
  The factory shall ensure control over all the goods quality to conformity with the client & factory requirement. Control of such goods quality shall be identified within the quality management system.

- Communication, Documentation control & work movement
  The factory should establish the documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of quality records.

- Control of sharp tools / foreign bodies
  Applicable to ALL Toy, Upholstery, Soft Furnishing factories and any other factories using needles in their manufacturing process. The factory shall establish the procedure to define the control of the sharp tools.

- Measuring equipment control
  The factory shall ensure the gauges and test/inspection equipment be maintained, calibrated and adequately stored.

- Product Requirement
  The factory shall ensure have the necessary equipment / facilities to control the product safety, also conduct the life / reliability testing in house on all finished Cath Kidston items.

3.2 Documentation Requirements

During the audit visit, assessors would like factory management to provide the following documents (if applicable):

No 序號	DOCUMENT	文件
01	Business / Factory Registration	营业执照
02	ISO9000 / ISO14000 / SA8000 / ICTI Certificate (If any)	ISO9000 / ISO14000 / SA8000 / ICTI 等认证证书（如有）
03	Organization Chart	组织架构图
04	Machinery List	机器设备清单
05	Machine Maintenance Plan / Record	机器保养计划 / 记录
06	Quality Manual / Quality Policy	质量手册/质量方针
07	Quality Control Procedures	质量控制程序文件
08	Job Specifications	岗位职责
09	Training Plan & Record (QC/ Metal Detector Operator)	培训计划 / 记录（质检人员，金属探测器操作人员）
10	Product Safety Standard (International or National)	产品安全标准（国际/国内）
11	Supplier / Sub-contractor Assessment Procedure / Records	供应商 / 分包商评价程序和记录
12	Purchase Order System, Purchase Order	采购程序，采购合同
13	Quality control Instructions (Incoming Materials/ Sub-contracting Product Inspection, In-process Inspection & Finished product inspection Instructions)	检验规范（进料检验、过程检验、外发工序/产品以及成品检验）
14	Inspection Records (Including Incoming Materials/ Sub-contracting Product Inspection, In-process Inspection & Finished product inspection)	检验记录（进料、外发加工检验、过程检验、成品检验、成品功能测试）
15	Material/ Finished Products Incoming & Outgoing records	材料及成品的出入库记录
16	Non-conforming Material Control Procedure	不合格品控制程序
17	Non-conforming Material Records (Including incoming materials, Semi-finished Products & Finished Products)	批次不合格品评审记录（来料，半成品，成品）
18	Re-inspection Records for Reworked Lots	不合格品返工重验记录
19	Corrective & Preventive Actions Procedure/ Records	纠正预防措施程序/记录
20	Pilot/ First Sample Inspection Record	首件检验记录（试产样的评审记录）
21	Mass Production Authorization Documents	生产通知单
22	Working Instructions	作业指导书
23	Process Flow Diagram	工序流程图
24	Production Plan	生产计划
25	Specifications for Incoming Materials and Final Products	原材料和产品的规范要求
26	Products Change Records	产品变更记录
27	Sharp Tools Control Procedure, Sharp Tools Losing Investigation Procedure (If applicable)	利器控制程序及利器丢失调查程序（如适用）
28	Daily Issuance & Return of Sharp Tools Records (If applicable)	利器日常收发/检查记录（如适用）
29	Broken Needle Policy/ Record (If applicable)	断针控制程序/记录（如适用）
30	Glass Control Policy (If applicable)	玻璃控制程序（如适用）
31	Metal Detecting Record (If applicable)	验针记录（如适用）
32	Metal Detection Machine Calibration Record (If applicable)	金属探测机检测记录（如适用）
33	Measuring/ Testing Equipment List	计量/测试仪器台帐
34	Measuring Equipment Calibration Certificate & Record	计量仪器校验记录/证书
35	Master Reference Standards Calibration Certificate (If applicable)	标准块校验证书（如适用）
36	Reliability Testing Procedure / Records	成品寿命/可靠性测试程序 / 记录
37	Test Certificate by 3rd Party	第三方测试记录

4.0 Ethical & Social Area

4.1 Key Activities conducted by UL-STR staff during the audit

- Review of factory policies or handbooks and licenses
- Review of employment contracts as required by the country's labour laws.
- Review of worker age documentation and verification.
- Review of payroll documentation, including but not limited to payroll records, time cards, production sheets, attendance records, proof of insurance payment or tax payment, etc. The review of these documents is essential to establish compliance to the country's national and regional labour laws.
- Private Interviews of workers selected randomly by the assessors without the presence of any other factory personnel.
- Tour of the factory floor to evaluate health and safety conditions, production capacity, use of outside subcontractors, waste water treatment, chemical and hazardous material containment, etc.
- Tour of the dormitories and dining room facilities, if applicable.
- Photos will be taken to document non-compliance areas.
- The Ethical & Social assessment is based on the Cath Kidston Code of Conduct and all applicable laws & regulations in regards to labour and employment of the region.

4.2 Documentation Requirements

During the audit visit, assessors would like factory management to provide the following documents (if applicable):

No 序號	DOCUMENT	文件
38	Factory & Dormitory Regulation, Encouragement & Penalty Regulation	厂规/宿舍管理及其他规章制度，奖罚制度
39	Employment Contract	劳动合同
40	Personnel file e.g. ID card, photo etc…	员工记录（入厂登记及身份证复印件、照片）
41	Minor Worker Registration & Health Certificate & Record	未成年工登记证和健康证或体检记录 (若有)
42	Local Minimum Wages Announcement	规定本地最低工资标准的文件
43	Working Record e.g. timecard etc…	工卡或考勤表
44	Piece Rate Record	计件工人计件单（若有计件工人）
45	Wages Record	工资记录
46	CWHS waiver (If applicable)	综合计时批文 （如适用）
47	Social Security & Insurance Registration	社会保险登记证
48	Social Security & Insurance Purchase Record	购买社保的发票或证明
49	Social Security & Insurance Ratio Announcement	劳动局关于本地应购买社保类型及相应比率的文件/社保局出具的工厂符合交纳规定的证明文件
50	Accident Record	工伤记录
51	First Aid Training Record	急救培训记录
52	Safety Education Record	生产安全培训记录
53	Factory Fire Prevention & Evacuation Drill Record e.g. photo etc…	厂房灭火及疏散演习记录及照片
54	Dormitory Fire Prevention & Evacuation Drill Record e.g. photo etc…	宿舍灭火及疏散演习记录及照片（若有宿舍）
55	Fire extinguishers Maintain Record	灭火器保养检查记录
56	Fire Device Maintenance Contract / Certificate	消防设施保养合同/证书
57	Hazardous Chemical Storage List & Its Handling & Usage Training Record/ Operation Permit	化学危险品储存清单和使用方法，人员培训证书
58	MSDS	物质安全资料清单
59	Special Operation Permit e.g. lift, boiler etc…	特种设备的使用许可证(电梯/ 锅炉)及操作工的上岗证
60	Health Certificate for Canteen Workers	食堂工作人员健康证明
61	Hygiene Certificate for Canteen	食堂卫生许可证
62	Environmental Impact Assessment Report	环保证书，环评报告
63	Emergency Accident Pre-caution Procedure	事故应急预案（处理工伤、意外事故、突发事件的程序）
64	Pollutant Ejection Permit, Sewage Inspection Report	排污许可证，废水检验报告（如有生产废水）

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5.0 Scheduling of Vendor assessments

Attached please find a copy of UL-STR Vendor Assessment Request Form (VARF). Please fill in all requested information and fax back to appropriate local UL-STR office for vendor assessment booking.

Please read following points carefully before returning the signed VARF to UL-STR.

7 working-day notice prior to audit date must be given for audit arrangement, and UL VS Hong Kong Limited will try the best to meet vendor's schedule.
For cancellation of audit arrangement, at least 3 working days advance notice should be given. Otherwise, manufacturer/vendor is responsible for all the audit charges plus out-of-pocket expenses.

We agree that the audit report is issued on the understanding that it cannot form the basis of, or the instrument for, any legal liability against UL VS Hong Kong Limited.

An audit chief representative of the manufacturer / supplier is required to fill and sign on the ”UL VS” Anti-bribery memo and fax/email it back to respective ”UL VS” office for review after finishing the audit. Failure return of the memo may delay the issuance of the formal inspection report.

It is important that you fax to the above UL-STR local office a detailed map showing the location of your factory.

The factory should assign a responsible person at the factory who will escort the assessors.

Disposition of the vendor assessment result is made at the conclusion of the audit and is either:

- If the overall rating is below 60%, the overall status will be "Red".
- If the overall rating is between 60% & 80%, the overall status will be "Amber".
- If the overall rating equal or exceed 80%, the overall status will be "Green".
- Items marked with a "*" are considered critical. Should any of these items score "0", the overall status will be "Red".

Note: Cath Kidston requires immediate notification of failure details. Hence, full co-operation and support from the vendor / factory on assisting UL-STR's assessors to complete the CAP. Cath Kidston will immediately advise the vendor / factory of any further actions required once the corrective action document.