



CTPAT Audit Report

User Agent

2014/06/26 15:46:58

Audit Report Number :10141620238

The Vendor Certification process will begin with an audit of the security system of the facilities. It incorporates a grading system, which will be used as a guide for selecting and improving Staples suppliers of Private Label, Contracted Manufactured and Direct Import products.

Outlined below is the Auditing Rating Scale, the criteria and associated auditing and follow-up frequency.

Certified - Reaudit in one year

C-TPAT Security Assessment Score of at least 80% with no critical violations

Certified Vendor with Corrective Action Required - Complete CAP / Reaudit in one year

C-TPAT Security Assessment Score between 70% to 79% with no critical violations

Failed

C-TPAT Security Assessment Score below 70% or a critical violation is found

Staples personnel or our designated representative will perform all Audits and CAP follow-ups.

Last Updated:6/26/2014 3:46:58 PM**FACTORY INFORMATION**

| | |
|-----------------------------------|--|
| Factory Name | 1A Manufacturing Ltd |
| Address | 4th Floor, Building one, 213 Guan Long Road, Bozhoubian Village, Dongcheng District Dongguan Guangdong China 512113 |
| Telephone: 86 769 22651700 | Fax: Unknown |
| E-mail: patrick@1a.com.hk | Agent: |
| Type Of Audit | Initial Audit |

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| SCORE OF THE C-TPAT SECURITY ASSESSMENT |
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| Audit Score:96.0 |
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| Result:Certified Vendor |
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| STATUS AND NEXT ACTION DUE |
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| Status: Certified Vendor |
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| Comments and Recommendations |
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| Date of Audit: 6/22/2014 12:00:00 PM |
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| Auditor: bvjh |
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| emxSupplierCentral.AuditExport.ScoringSummary |
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| Section | Section Name | Critical Found | Pts Possible | Pts Awarded |
|--|--|----------------|--------------|-------------------------|
| 1 | 1. General Security Conditions of Facilities | No | 0 | 0 |
| 2 | 2. Procedural Security | No | 41 | 36 |
| 3 | 3. Physical Security | No | 37 | 37 |
| 4 | 4. Access Control | No | 33 | 33 |
| 5 | 5. Security of Personnel Management | No | 34 | 34 |
| Total Points Possible vs. Awarded | | | 145 | % Score 96.0 |

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| Questions marked with an ** represent critical violations |
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| Section - 1. General Security Conditions of Facilities |
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| (20 requirements, 0 critical) Score: 0 / 0, Total violations: 0 | | | |
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| Number | Requirement | Value | Comments |
| 1 | What is the Factory Name and Address? | NOT SCORED | Factory Name: 1A Manufacturing Ltd(Dongguan); Address: 3F and Halft of 4F, No. 213, Guanlong Road, Bozhoubian Village, Dongcheng District, Dongguan City, Guangdong Province, China |
| 2 | How many buildings are operated at this location? | NOT SCORED | 3F and halft of 4F of one 5-storey produciton building |
| 3 | Facility building(s) owned; rented; or leased? | NOT SCORED | Rented |
| 4 | Is the facility appropriately sized for level of operations. | NOT SCORED | 1,800 square meters |
| 5 | Construction of buildings? | NOT SCORED | Concret Constructions |
| 6 | What is the current facility headcount? | NOT SCORED | 29 |
| 7 | Management Headcount | NOT SCORED | 9 |
| 8 | Manufacturing Headcount | NOT SCORED | 16 |
| 9 | QA Headcount | NOT SCORED | 1 |
| 10 | Staples: administrative # of employees | NOT SCORED | 3 |
| 11 | Other Headcount | NOT SCORED | 0 |
| 12 | How many days per week does the facility currently operate? | NOT SCORED | 5 days per week |
| 13 | Number of worker shifts currently operating? | NOT SCORED | One shift |
| 14 | Describe current shift schedule (hours; # of workers per shift; etc.) | NOT SCORED | 8:00-12:00, 14:00-18:00 |
| 15 | What type of workers does the facility employ? | NOT SCORED | Direct employees |
| | Claimed daily or weekly output for | NOT | |

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| 16 | this facility? | SCORED | 80,000 pieces per month |
| 17 | Does the facility unload shipping containers of components/raw materials on-site? | NOT SCORED | Yes |
| 18 | Does the facility load shipping containers with finished product on-site? | NOT SCORED | Yes |
| 19 | If the facility's a warehouse; what type of cargo is stored there? | NOT SCORED | Non-bonded |
| 20 | Does the facility use any off-site processing facilities; warehouses; or subcontractors during the manufacturing of the products in concern? | NOT SCORED | Yes. Sewing Process was subcontracted. |

| Section - 2. Procedural Security | | | |
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| (15 requirements, 1 critical) Score: 36 / 41, Total violations: 0 | | | |
| Number | Requirement | Value | Comments |
| 1 | Does the facility have a Security Policy (System; Procedure; or Manual) that is documented in writing? (Note: This may be a stand alone document or part of a Quality Manual or Procedures Manual) ** | PASS | Previous Finding: The facility did not have a Security Policy or similar procedures manual. Appropriate Action Taken: It was noted that the the facility had established a Security Policy and operation manual. |
| 2 | Is there a designated manager or group responsible for security? | PASS | Nil |
| 3 | Does the facility have adequate procedures in place to protect against unmanifested or unapproved parts; components or raw materials being introduced into production? | PASS | Previous Finding: The facility did not have adequate procedures in place to protect against unmanifested or unapproved parts; components or raw materials being introduced into production. Appropriate Action Taken: It was noted tha adequate procedures were in place to protect against unmanifested or unapproved parts; components or raw materials being introduced into production. |
| | Does the facility have adequate | | |

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| 4 | procedures for monitoring and documenting the movement of incoming and outgoing products? | PASS | Nil |
| 5 | Does the facility have adequate procedures in place to protect against unmanifested or unapproved finished products being switched with or placed with acceptable products before shipment from the facility? | PASS | Previous Finding: The facility did not have procedures for verifying and securing seals on incoming and outgoing shipping containers; trailers; railcars; trucks. Appropriate Action Taken: It was noted that the facility had established procedures for verifying and securing seals on incoming and outgoing shipping containers; trailers; railcars; trucks. |
| 6 | Does the facility have adequate procedures for verifying and securing seals on incoming and outgoing shipping containers; trailers; railcars; trucks? | FAIL | Previous Finding: The facility did not have procedures for verifying and securing seals on incoming and outgoing shipping containers; trailers; railcars; trucks. Appropriate Action Taken: It was noted that the facility had established procedures for verifying and securing seals on incoming and outgoing shipping containers; trailers; railcars; trucks. |
| 7 | Does the facility have adequate procedures for comparing cargo against manifest documents (proper marking; weighing; counting; etc). | PASS | Previous Finding: The facility did not have adequate procedures for comparing cargo against manifest documents (proper marking; weighing; counting; etc). Appropriate Action Taken: It was noted that The facility had established adequate procedures for comparing cargo against manifest documents (proper marking; weighing; counting; etc). |
| 8 | Does the facility have adequate procedures for detecting and | PASS | Previous Finding: The facility did not have procedures for detecting and reporting of shortages or overages. Appropriate Action Taken: It |

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| | reporting of shortages or overages? | | was noted that the facility had established procedures for detecting and reporting of shortages or overages. |
| 9 | Does the facility management conduct random; documented security assessments? | PASS | Previous Finding: The facility management did not conduct random; documented security assessments. Appropriate Action Taken: It was noted that the facility management had conducted documented security assessments. |
| 10 | Does the facility maintain an updated file of Corrective Action procedures for security issues? | PASS | Previous Finding: The facility did not maintain an updated file of Corrective Action procedures for security issues. Appropriate Action Taken: It was noted that the factory had conducted security assessments and the corrective action procedures for security issues were maintained onsite and updated. |
| 11 | Does the facility have adequate procedures for notifying local law enforcement and other authorities (i.e. Customs) in cases where anomalies or illegal activities are detected; or suspected? | PASS | Previous Finding: The facility did not have adequate procedures for notifying local law enforcement and other authorities. Appropriate Action Not Taken: It was noted that the factory did not establish adequate procedures for notifying local law enforcement and other authorities(i.e. Customs) for anomalies or illegal activities detected or suspected. |
| 12 | Does the facility have a vendor certification program for raw materials vendors? | PASS | Previous Finding: The facility did not have a vendor certification program for raw materials vendors. Appropriate Action Taken: It was noted that the factory had established a vendor certification program for raw material vendors. |
| | | | Previous Finding: The facility |

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| 13 | In the case of authorized subcontracting; does the facility provide adequate supervision of subcontractors to ensure compliance with security issues? | PASS | did not provide adequate supervision of subcontractors to ensure compliance with security issues. Appropriate Action Not Taken: It was noted that sewing process was subcontracted, however, the facility was unable to provide supervision of this subcontractor to ensure compliance with security issues. |
| 14 | Is the facility's document filing system for client information; product specifications; manifests; and security procedures/records restricted and secure? | PASS | Nil |
| 15 | Does the facility restrict access to files; telephones; computers; computer disks and storage devices; fax machines and similar equipment and is this equipment located in secure areas at all times? | PASS | Nil |

| Section - 3. Physical Security | | | |
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| (13 requirements, 1 critical) Score: 37 / 37, Total violations: 0 | | | |
| Number | Requirement | Value | Comments |
| 1 | Is the facility constructed and maintained properly to resist unlawful entry? (solid walls/ceilings; perimeter fences; working locks and/or alarms on external and internal doors; windows; gates and fences; etc.) ** | PASS | Nil |
| 2 | Is there adequate and functioning lighting inside and outside the facility? | PASS | Nil |
| 3 | Does the facility have dedicated security guard(s) on duty? | PASS | Nil |
| 4 | Does the facility have any electronic security system such as CCTV cameras; electronic motion detectors or automatic alarms? | PASS | Nil |

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| 5 | Does the facility have a documented procedure in place to service and test their electronic systems? | PASS | Nil |
| 6 | Does the facility have security cameras that cover all critical areas (all external exit doors; loading docks; production areas; etc.) | PASS | Previous Finding: The facility did not have security cameras in loading area. Appropriate Action Taken: It was noted that the factory had installed security camera in loading area. |
| 7 | Does the facility maintain recorded security tapes in a secure area for at least 30 days? | PASS | Nil |
| 8 | Does the facility have electronic motion detectors and alarms that cover all critical areas? | PASS | Nil |
| 9 | Does the facility have electronic motion detectors linked to a single; central alarm system? | PASS | Nil |
| 10 | Does the facility provide for segregation and marking of international; domestic; high-value; and dangerous goods cargo within the facility by a safe; caged or otherwise fenced-in area? | PASS | Nil |
| 11 | Are incoming trucks/trailers/containers subject to inspection for contents and cleanliness? | PASS | Previous Finding: The incoming trucks/trailers/containers were not subject to inspection for contents and cleanliness. Appropriate Action Taken: It was noted that no container loading was conducted in the factory since previous audit, and incoming trucks were subject to inspection for contents and cleanliness. |
| 12 | Are outgoing trucks/trailers/containers subject to inspection for contents and cleanliness? | PASS | Nil |
| 13 | Does the facility have a designated procedure and restricted holding area for segregating non-conforming | PASS | Nil |

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| materials and finished products? |
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| Section - 4. Access Control | | | |
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| (16 requirements, 1 critical) Score: 33 / 33, Total violations: 0 | | | |
| Number | Requirement | Value | Comments |
| 1 | Does the facility have an adequate system in place to prevent unauthorized access? ** | PASS | Previous Finding: The facility did not have an adequate system in place to prevent unauthorized access. Appropriate Action Taken: It was noted that the facility had established adequate system in place to prevent unauthorized access. |
| 2 | Does the facility restrict employee/visitor access to keys and security systems/codes? | PASS | Nil |
| 3 | Does the facility require positive identification of all employees; visitors; and vendors? | PASS | Previous Finding: The facility did not require positive identification of all employees; visitors; and vendors. Appropriate Action Taken: It was noted that the facility had require positive identification of all employees; visitors; and vendors. |
| 4 | Does the facility require all visitors to "sign in"? | PASS | Previous Finding: The facility did not require all visitors to "sign in". Appropriate Action Taken: It was noted that he facility had required all visitors to "sign in" and the request was posted at entrance |
| 5 | Does the facility have an updated "sign in" book? | PASS | Previous Finding: The facility did not have an updated "sign in" book. Appropriate Action Taken: It was noted that the facility had established "sign in" book and up-to-date. |
| 6 | During this Assessment was the | PASS | Previous Finding: During this Assessment, The auditor was also not required to "sign in". Appropriate Action Taken: It |

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| | auditor required to "sign in"? | | was noted that the auditor was required to "sign in" during this assessment. |
| 7 | Are all employees issued ID badges? | PASS | Previous Finding: All employees were not issued ID badges. Appropriate Action Taken: It was noted that all employees were issued with ID badges. |
| 8 | Are all visitors issued ID badges? | PASS | Previous Finding: All visitors were not issued ID badges. Appropriate Action Taken: It was noted that all visitors were issued with ID badges and the insurance was registered |
| 9 | During this Assessment was the auditor issued an ID badge? | PASS | Previous Finding: During this Assessment, The auditor was not issued an ID badge. Appropriate Action Taken: It was noted that the auditor was issued with ID badge during this assessment. |
| 10 | Does the facility have signs posted stating requirements for access by visitors? | PASS | Previous Finding: The facility did not have signs posted stating requirements for access by visitors. Appropriate Action Taken: It was noted that the facility had signs posted stating requirements for access by visitors. |
| 11 | Does a facility representative accompany all visitors at all times? | PASS | Previous Finding: No facility representative accompany all visitors from factory gate to production area. Appropriate Action Taken: It was noted that facility representative accompanied all visitors from factory gate to production area. |
| 12 | During this Assessment was the Auditor accompanied by a facility representative at all times? | PASS | Previous Finding: No facility representative accompany auditor from factory gate to production area. Appropriate Action Taken: It was noted that facility representative |

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| | | | accompanied the auditor from factory gate to production area. |
| 13 | Does the facility have a Card Access; Fingerprint Recognition; or similar electronic identification system for employees? | PASS | Previous Finding: The facility did not have a Card Access such as ID badge. Appropriate Action Taken: It was noted that facility had a fingerprint recognition system for employee access and also ID badges were issued. |
| 14 | If the facility has a Card Access; Fingerprint Recognition or similar electronic identification system; does it cover all external exits? | PASS | Nil |
| 15 | If the facility has a Card Access; Fingerprint Recognition or similar electronic identification system; are records of daily transactions maintained in a secure area for at least 60 days? | PASS | Nil |
| 16 | If the facility has a Card Access; Fingerprint Recognition or similar electronic identification system; is a documented procedure in place to service and test the system? | PASS | Nil |

| Section - 5. Security of Personnel Management | | | |
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| (11 requirements, 0 critical) Score: 34 / 34, Total violations: 0 | | | |
| Number | Requirement | Value | Comments |
| 1 | Does the facility's Security Policy state that dangerous or prohibited products may not be brought onto the premises? (Fire arms; explosives; weapons; narcotics; etc.) | PASS | Nil |
| 2 | Are employees informed about the proper use and storage of personal property within the facility? (interview at least 5 employees) | PASS | Nil |
| 3 | Are employee's personal items (brought onto or stored at the facility premises) subject to inspection? | PASS | Nil |
| | Are employees informed about the | | |

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| 4 | proper use and storage of company property within the facility? (interview at least 5 employees) | PASS | Nil |
| 5 | Are employees informed about the proper personal conduct within the facility? (interview at least 5 employees) | PASS | Nil |
| 6 | Does the facility have documentation about the education; qualifications; and experience of their staff responsible for security? | PASS | Previous Finding: The facility did not have documentation about the education; qualifications; and experience of their staff responsible for security. Appropriate Action Taken: It was noted that the facility had documentation about the education; qualifications; and experience of their staff responsible for security. |
| 7 | Does the facility conduct employment screening and interviewing of prospective employees including periodic background checks and application verifications? | PASS | Previous Finding: The personnel files of one security guard did not record previous employment history. Appropriate Action Taken: It was noted that 5 sample personnel files were recorded with employment history and background check records. |
| 8 | Does the facility have documented procedures for terminated employees to ensure return of security instruments (access cards; ID's; keys; etc.) | PASS | Previous Finding: The facility did not have documented procedures for terminated employees to ensure return of security instruments. Appropriate Action Taken: It was noted that the facility had established documented procedures for terminated employees to ensure return of security instruments. |
| 9 | Does the facility have a procedure for reporting of potential security issues observed by employees? | PASS | Nil |
| | Does the facility have a procedure for increasing security awareness by | | |

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| 10 | employees? (recognition of internal conspiracies; maintaining product integrity; determining unauthorized access; etc.) | PASS | Nil |
| 11 | Does the facility have a documented schedule for security training? | PASS | Previous Finding: The facility did not have a documented schedule for security training. Appropriate Action Taken: It was noted that the factory had a documented schedule for security training. |

EXECUTIVE SUMMARY SECTION

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| Client Name: | STAPLES INC. |
| City / Province: | Framingham, MA 01702 |
| Country: | USA |
| Staples Contact: | Mr. DAVID DALEY |
| Fax No.: | 508-370-8910 |
| Supplier: | Paperchase Products Ltd. |
| Factory's Name & Factory's address: | 1A Manufacturing Ltd 4th Floor, Building one, 213 Guan Long Road, Bozhoubian Village, Dongcheng District Dongguan Guangdong China 512113 |
| Service Performed | CTPAT Audit |
| Service Date: | 6/22/2014 12:00:00 PM |
| Report Date: | 6/26/2014 3:46:58 PM |



General Photo

Audit Report Details

File Number: 10141620238
Date Of Audit: 23-Jun-14
Factory Name: 1A Manufacturing Ltd(Dongguan)
Auditor Names: Yoyo Cai



Factory name



Security post at entrance



Finger print recognition



Parking area



Finished goods warehouse



Packing area



Loading area



CCTV camera and exterior in loading area



Motion detector



CCTV monitor



Visitor badge

平美东线维委子站
访客出入登记表

| 日期 | 时间 | 姓名 | 来访单位 | 来访事由 | 车牌号码 | 证件号码 | 访客证编号 | 出厂携带物品 | 访客证是否回收 | 保安签名 |
|-----------|-------|------|-------|------|----------|----------------|-------|--------|---------|------|
| 2014/6/23 | 10:00 | 张三 | ABC公司 | 业务洽谈 | 苏A-12345 | 11010112345678 | 001 | | ✓ | 李四 |
| 2014/6/23 | 11:30 | 王五 | DEF公司 | 设备维修 | 苏A-67890 | 11010123456789 | 002 | | ✓ | 李四 |
| 2014/6/23 | 14:00 | 赵六 | GHI公司 | 参观访问 | 苏A-11111 | 11010134567890 | 003 | | ✓ | 李四 |
| 2014/6/23 | 16:00 | 孙七 | JKL公司 | 送货 | 苏A-22222 | 11010145678901 | 004 | | ✓ | 李四 |
| 2014/6/23 | 18:00 | 李八 | MNO公司 | 采购 | 苏A-33333 | 11010156789012 | 005 | | ✓ | 李四 |
| 2014/6/23 | 19:00 | 周九 | PQR公司 | 维修 | 苏A-44444 | 11010167890123 | 006 | | ✓ | 李四 |
| 2014/6/23 | 20:00 | 吴十 | STU公司 | 送货 | 苏A-55555 | 11010178901234 | 007 | | ✓ | 李四 |
| 2014/6/23 | 21:00 | 郑十一 | VWX公司 | 参观 | 苏A-66666 | 11010189012345 | 008 | | ✓ | 李四 |
| 2014/6/23 | 22:00 | 冯十二 | YZA公司 | 送货 | 苏A-77777 | 11010190123456 | 009 | | ✓ | 李四 |
| 2014/6/23 | 23:00 | 陈十三 | BCD公司 | 维修 | 苏A-88888 | 11010201234567 | 010 | | ✓ | 李四 |
| 2014/6/23 | 00:00 | 林十四 | EFG公司 | 送货 | 苏A-99999 | 11010212345678 | 011 | | ✓ | 李四 |
| 2014/6/23 | 01:00 | 周十五 | HIJ公司 | 参观 | 苏A-00000 | 11010223456789 | 012 | | ✓ | 李四 |
| 2014/6/23 | 02:00 | 吴十六 | KLM公司 | 送货 | 苏A-11111 | 11010234567890 | 013 | | ✓ | 李四 |
| 2014/6/23 | 03:00 | 郑十七 | NOP公司 | 维修 | 苏A-22222 | 11010245678901 | 014 | | ✓ | 李四 |
| 2014/6/23 | 04:00 | 孙十八 | QRS公司 | 送货 | 苏A-33333 | 11010256789012 | 015 | | ✓ | 李四 |
| 2014/6/23 | 05:00 | 李十九 | TUV公司 | 参观 | 苏A-44444 | 11010267890123 | 016 | | ✓ | 李四 |
| 2014/6/23 | 06:00 | 周二十 | WXY公司 | 送货 | 苏A-55555 | 11010278901234 | 017 | | ✓ | 李四 |
| 2014/6/23 | 07:00 | 吴二十一 | ZAB公司 | 维修 | 苏A-66666 | 11010289012345 | 018 | | ✓ | 李四 |
| 2014/6/23 | 08:00 | 郑二十二 | BCD公司 | 送货 | 苏A-77777 | 11010290123456 | 019 | | ✓ | 李四 |
| 2014/6/23 | 09:00 | 冯二十三 | EFG公司 | 参观 | 苏A-88888 | 11010301234567 | 020 | | ✓ | 李四 |

Visit log



Register required



Entrance to workshop

Remark: No COC was posted as factory stated that they did not receive it from the client.