

Paper Tube Factory Audit Checklist

Scope and supplier identity

Supplier / site: _____ Date: _____

Product / specification: _____ Auditor: _____

Mode: Document / Live video / On-site. Agree access, confidentiality and photo permissions. Redact customer information and employee personal data.

1. Legal identity & compliance

Check: Match the contracting entity, factory address and actual production operator. Record any declared subcontractors and the approvals applicable to the site and process.

Ask: Which entity will invoice us, and which site will manufacture our order? Can you explain any address or company-name differences?

Risk: Unexplained entity mismatches, unverifiable certificates or refusal to identify the production site.

Evidence: Public registry result, permission-based entrance photo, certificate number and scope, documented subcontracting arrangement.

Result: Pass / Follow up / Fail Evidence ID: _____

2. Production capacity & equipment

Check: Follow the material route from slitting and winding through cutting, drying or conditioning, wrapping and assembly. Compare demonstrated output with current workload and bottleneck capacity.

Ask: Show a recent comparable production order. What is the good-unit output at the slowest operation, after downtime, changeovers and scrap?

Risk: Capacity based only on nameplate speed; production records do not match the demonstrated process; undisclosed outsourcing.

Evidence: Machine IDs and maintenance summaries, a timed output observation, redacted production logs, batch-labelled work in progress.

Result: Pass / Follow up / Fail Evidence ID: _____

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Quality, materials and working conditions

3. Quality management & traceability

Check: Review incoming checks, first-article approval, in-process measurements, final inspection, calibration and nonconformance handling. Trace one finished carton back to its materials.

Ask: What happens when a lid is too tight or a dimension is out of tolerance? Show a recent rejection and its corrective action.

Risk: Blank or copied inspection records, expired calibration, no rejected-goods segregation or no traceable lot code.

Evidence: Approved specification, inspection records, calibration status, lot trace and a redacted corrective-action example.

Result: Pass / Follow up / Fail Evidence ID: _____

4. Materials, adhesives & storage

Check: Check paper grade, supplier identification, adhesive specification, liner traceability, storage conditions and stock rotation. Match contact-material evidence to the intended product and sales market.

Ask: Which materials touch the product? Can you link this material batch to its specification and supporting test or compliance documentation?

Risk: Unlabelled adhesive, damp paper, uncontrolled substitutions or an SDS presented as the only proof of food-contact suitability.

Evidence: Material labels, specification and lot records, relevant test reports, storage observations and conditioning records.

Result: Pass / Follow up / Fail Evidence ID: _____

5. People, safety & management

Check: Confirm who can stop or release production, operator training, guarding, dust control, ventilation, exits and required PPE. A short walkthrough is not a comprehensive social-compliance audit.

Ask: Who has final release authority, and how are new operators trained? How can staff report a safety or quality concern?

Risk: Blocked exits, immediate safety hazards, missing machine guards or no clear responsibility for resolving defects.

Evidence: Training summaries, responsibility chart and permission-based safety observations. Use anonymized records; do not collect personal employee IDs.

Result: Pass / Follow up / Fail Evidence ID: _____

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Scoring and follow-up

Suggested buyer framework - not a certification standard

Rate each dimension from 0 to 100 using verified evidence. Unknown evidence is not a pass. Weighted total = sum of score x weight.

Legal identity 20%: score ____ weighted ____

Capacity match 25%: score ____ weighted ____

Quality system 30%: score ____ weighted ____

Management and traceability 15%: score ____ weighted ____

Worker safety and social risk 10%: score ____ weighted ____

Total: ____ / 100. Critical legal or safety finding? Yes / No / Unresolved.

Any critical finding overrides the total: hold approval. Otherwise: 80-100, consider samples and a controlled trial; 60-79.9, corrective action and recheck; below 60, do not approve at this stage.

Remote walkthrough prompts

Confirm site entrance and operator identity. Follow a continuous route through materials, winding, cutting, conditioning, QC and packing. Choose a lot live, witness one measurement and trace the record. List inaccessible evidence for independent follow-up.

Corrective action record

Finding / evidence: _____

Severity / owner: _____

Required action / due date: _____

Verification method / closure date: _____

Photo permissions and limits

Photograph only agreed areas and redacted records. Do not collect employee IDs, unrelated payroll, customer artwork or confidential formulas. A tour is not a substitute for a qualified safety or regulatory assessment.

Full guide and source links: xinhepapertube.com/how-to-audit-a-paper-tube-factory-in-china/