

# Important Message

Effective: 1<sup>st</sup> March, 2017

ETP-LTF-01 V07 (E)

***(Auditors shall provide and circulate this document to representatives of factory management during the opening meeting of the audit, and collect the signed original copy before leaving the factory)***

This Important Message serves as a brief summary of the main contents of ICTI Ethical Toy Program and its amendments thereof as well as the best effort to ensure that factory management and/or representatives are aware of their respective duties and obligations. The parties concerned should refer to the original materials in relation to the Ethical Toy Program for details. Factory management and/or representatives are always welcome to contact Ethical Toy Program Factory Helpdesk via (+852) 2111-2462, or by email at [info@ethicaltoyprogram.org](mailto:info@ethicaltoyprogram.org).

## 1 Zero Tolerance Violations

*(please refer to the [Probation and Termination Policy](#) on our website for details)*

- a. Denial of full or partial access to factory premises to meet objectives of the audit;
- b. Improper influence occurred in audit (please refer to the Integrity Declaration signed in audit for details). The Declaration states that **no factory shall offer any advantages whatsoever, including cash, gifts, entertainment, meals or transportation to or from the factory, to the auditors for any reason, at any time or any place;**
- c. Hidden production areas or hidden workers with the factory's intention of providing a false scope of the audit;
- d. Two or more child laborers;
- e. Forced labor; and
- f. Other non-compliances, such as physical abuse, sexual harassment or life-threatening health and safety issues or systematic violations on fire safety;  
**Any factory that is found to have any of the above said Zero Tolerance violations will be terminated forthwith, re-application will not be accepted for at least 6 months.**

## 2 Procedure for Critical Violations – with Record Inconsistency

*(Please refer to the [Probation and Termination Policy](#) on our website for details)*

To encourage factory's commitment to providing genuine and complete information on-site, as well as promoting greater audit effectiveness, starting from 1<sup>st</sup> February, 2012 onwards, auditors will discuss with factory representatives on

the most significant inconsistent records before the closing meeting or during the audit.

**a. On-site Transparency:**

If a factory that is found with record inconsistency is willing to show transparency to the auditor or Ethical Toy Program staff, **it must, on one occasion only, immediately provide genuine and complete records onsite.** The auditor may refuse to accept any record or information provided by the factory on second or subsequent submissions. The auditor shall explain the case in the report to Program Monitoring and Development Team of Ethical Toy Program for their review. For a factory that is able to show 100% on-site transparency, with the approval of Ethical Toy Program Management, a Probation Seal will be considered (not applicable for factory that is in the Initial Certificate Audit cycle or was already listed on Probation).

**b. Off-site Transparency:**

A factory failing to show on-site transparency must, **within the Factory Response Period that is no later than 20 days (work days)** from the end of the audit, provide a Corrective Action Plan (CAP) with genuine and complete records. Upon approval of Ethical Toy Program Management, the factory is then subject to a transparency Re-Audit. If the factory fails to provide CAP within 20 days (work days) of the Factory Response Period to confirm the genuineness and completeness of the information, the factory will also be terminated forthwith, the reapplication will not be accepted for at least 6 months. If it is confirmed that the factory provided a true and complete record in the Re-Audit, a Probation Seal will be considered (not applicable for factory that is in Initial Certificate Audit Cycle or was already listed on Probation). If it is found that the factory still fails to provide a true and complete record in the Re-Audit, the factory will be terminated forthwith, the re-application will not be accepted for at least 6 months.

### 3 Complaint or Appeal Channels

*(Please refer to the [Complaints and Appeals](#) on our website for details)*

Factories which have any concerns regarding the integrity, fairness, technical accuracy, implementation of audits by the audit firms, or having opinions different from the Ethical Toy Program staff regarding the disposition to the factories or audit implementation, are always welcome to contact Ethical Toy Program. Please contact the Ethical Toy Program Factory Helpdesk at (852) 2111-2462, or forward complaints or appeals via email to [tac-appeal@ethicaltoyprogram.org](mailto:tac-appeal@ethicaltoyprogram.org).



Complaint and Appeal Procedure & Factory Complaint and Appeal Form are available on the Policies page of our website.

#### 4 Relevant policies and hyperlinks

- a. [Ethical Toy Program Website](#)
- b. [Ethical Toy Program Policies](#)
- c. [Complaint and Appeal Procedure & Form](#)

Finally, thank you very much for your understanding and support to Ethical Toy Program and the auditors.

ICTI Ethical Toy Program

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I hereby acknowledge that I have read and understood the above important message, and accept any liability for the consequences arising from violation of the above policies.

Signed by authorized  
Factory representative: \_\_\_\_\_ Title: \_\_\_\_\_

Date: \_\_\_\_\_ Factory Chop: \_\_\_\_\_