

Monitored Party SHENZHEN NEW HORIZON UMBRELLA CO., LTD	amfori ID 156-018741-000	Address 201, Production B, No.19, ZiJing Road, Pingxi, Pingdi Street, Longgang District, 518117 Shenzhen, Guangdong Sheng, China
Monitoring Activity amfori Social Audit - Manufacturing	Monitoring Type Follow-up Monitoring	Monitoring Partner SGS
Monitoring Start Date 21/11/2023	Closing Meeting Finished Date 28/11/2023	Submission Date 28/11/2023
Expiration Date 14/08/2025	Announcement Type Fully Announced	
Site Shenzhen New Horizon Umbrella Co., Ltd.	Site amfori ID 156-018741-002	

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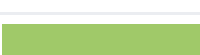
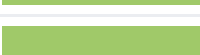
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OVERALL RATING



SECTION RATING

PA1: Social Management System	B	
PA 2: Workers Involvement and Protection	B	
PA 3: The Rights of Freedom of Association and Collective Bargaining	A	
PA 4: No Discrimination	A	
PA 5: Fair Remuneration	A	

PA 6: Decent Working Hours	A	
PA 7: Occupational Health and Safety	A	
PA 8: No Child Labour	A	
PA 9: Special Protection for Young Workers	A	
PA 10: No Precarious Employment	A	
PA 11: No Bonded Labour	A	
PA 12: Protection of the Environment	A	
PA 13: Ethical Business Behaviour	A	

GENERAL DESCRIPTION

[Audit Information]

Name of lead auditor: Landy Lan; APSCA membership number (CSCA 21701998)

Name of team auditor (if applicable): Nil

Name of observers, translators, trainees, advisors/consultants (if applicable): Nil

Monitoring partner name: SGS (Monitoring firm APSCA #: 11600006)

Audit schedule details: The audit is planned for 1 auditor x 1 day.

The follow-up audit (Fully Announced) was conducted on November 21, 2023.

[Business partner information]

Shenzhen New Horizon Umbrella Co., Ltd. was located at 201, Production B, No.19, ZiJing Road, Pingxi, Pingdi Street, Longgang District, Shenzhen City, Guangdong Province, China. The factory was founded on Mar 20, 2002. The Unified Social Credit Code of the factory was 914403007362642873. The business license was valid from Mar 20, 2002 to long-term. The factory focuses on manufacturing umbrella. The production capacity is: 600,000 pieces per year. The main production processes in the factory were: cutting, sewing, manual sewing, inspection and packaging.

[Audited location information]

Based on management interview, all areas used by the factory were rented from the landlord. The factory rented the 2nd floor of one 4-storey production building as for production area, rented the 1st floor of one 4-storey office building as for office area, rented 6 rooms of one 5-storey dormitory building as for workers' dormitory.

Production building (4-storey):

2F: used by the audited factory as for production area and warehouse.

1F,3F, 4F: used by other 3 factories as for workshop and warehouse. Total area of this building 7992 S.Q meters.

Office building (3-storey): 1F: used by the audited factory as for office area.

2F,3F,4F: used by other factories as for office area. Total area of this building 1228 S.Q meters.

Dormitory building (5-storey): 1F: employee activity rooms of other factories, restaurants of other factories.

2F: dormitory rooms of other factories

3F to 5F: dormitory rooms.

The factory rented 6 rooms on the 4F to workers as for dormitory. Total area of this building 4653 S.Q meters.

[Operating shifts and hours]

The factory established policy about working hour, the same requirements were also defined in employee manual. The factory adopted IC card attendance machine to record workers' working hours. The normal working hours were 5 days per week and 8 hours per day. There was only one working shift for all workers. The factory provided attendance records from Aug 1, 2023 to Nov 21, 2023 for review during the audit. Based on attendance records provided by the factory, workers sometimes overtime worked 2 hours on weekday, overtime worked 4 hours on Saturdays, never OT on Sundays and statutory holidays. Workers had right to choose working overtime or not. All workers enjoyed one day off per seven days. The maximum monthly overtime working hours of sampled workers were 36 hours. Workers' maximum weekly working hours were 48 hours. During operation, workers could go to toilet and have a rest without restriction.

[Salary payment details]

The factory established compensation and wage policy. Based on payrolls from Aug 2023 to Oct 2023 provided by the factory, workers were paid by hourly rate, the minimum wage paid by the factory was at least RMB 13.56 per hour (equivalent to RMB 2360 per month), which met the local minimum wage standard. The payment cycle was natural month. The factory paid the wage to workers before 15th of the following month by bank transfer. The factory paid 150% and 200% of normal wage for the overtime on normal working days and rest days respectively, no overtime was arranged on official holidays. No deduction was used for disciplinary measure from the total wage. According to the assessment at the time of the audit, the wages paid to workers were more than the local decent living wage. The factory provided social insurance for workers as per legal requirement.

[Worker number information]

- Total worker number (production and management workers): 39 workers (21 production workers, 18 management workers).
- Production worker number (male and female number details should be given): 21 production workers (9 male workers, 12 female workers).
- Vulnerable worker number (male and female number details should be given) : 28 domestic migrant workers (14 male workers, 14 female workers).
- Any other special group workers (interns, apprentices, contractor workers etc.): Nil

[Good practices]

Nil

[Worker organization details]

There was no union in the factory. There was one worker representative elected by workers in a free and democratic way.

[Circumstances]

The registered address of the business license of the factory was: "1st floor of Building C, 201, Production B, No.19, ZiJing Road, Pingxi, Pingdi Street, Longgang District, Shenzhen City (Local address description: 深圳市龙岗区坪地街道坪西社区紫荆路19号B栋(进门左边第二栋)201、C栋一楼整层)". The factory preferred to use "201, Production B, No.19, ZiJing Road, Pingxi, Pingdi Street, Longgang District, Shenzhen City" as the address of the report, because the factory usually use this address with customers.

[The special circumstances can be classified as followed]

No negative evidence was identified during the past year based on online search.

[Summary of findings]

PA1: amfori BSCI Code of Conduct management was not perfect.

PA2: long-term goals were without step-by-step actions and not known by workers, 50% interviewees were not aware of the amfori BSCI Code of Conduct.

PA7: HS management system was not perfect, partial employee did not enjoy work-related injury insurance, label for glue containers were not consist with MSDS

PA5, PA6, PA9, PA13: Nil

PA3, PA4, PA6, PA8, PA10, PA11, PA12: Not audited

#LivingWage: The Living Wage data was obtained from the GLWC website, and the relevant documents have been uploaded as attachments to the Report Attachments section.

[Personal Information protection law] The Personal Information Protection Law of the People's Republic of China was promulgated on August 20, 2021, the producer ensured that relevant personal data and information provided to SGS auditor(s) has been obtained the individual's consent during the audit. [Attachments] During document review, it was evident that some of required documents are not applicable in organization like Agency Labour Contract, Government Waiver on working hours and Collective Bargaining Agreement.

SITE DETAILS

Site

Shenzhen New Horizon Umbrella Co., Ltd.

Site amfori ID

156-018741-002

GICS Classification

Sector	Industry Group	Industry
Consumer Staples	Household & Personal Products	Household Products
Sub Industry		
Household Products		

amfori Process Classifications

N.A.

NACE Classification

N.A.

GS1 Classifications

N.A.

Water Stress Situation

N.A.

METRICS

Key Metrics

Total workforce	39	Workers
Legal minimum wage in local currency	2,360	Monthly
Lowest wage paid for regular work at the site	2,360	Monthly
Calculated living wage in local currency	3,235	Monthly
Total sample	5	Workers

Other Metrics

Male workers	16	Workers
Female workers	23	Workers
Permanent workers - Male	16	Workers
Permanent workers - Female	23	Workers
Temporary workers - Male	0	Workers
Temporary workers - Female	0	Workers
Seasonal workers - Male	0	Workers
Seasonal workers - Female	0	Workers
Management - Male	4	Workers
Management - Female	2	Workers
Apprentices - Male	0	Workers
Apprentices - Female	0	Workers
Workers on probation - Male	0	Workers
Workers on probation - Female	0	Workers
Workers with night shift - Male	0	Workers
Workers with night shift - Female	0	Workers
Workers with disabilities - Male	0	Workers
Workers with disabilities - Female	0	Workers
Domestic migrant workers - Male	14	Workers
Domestic migrant workers - Female	14	Workers
Foreign migrant workers - Male	0	Workers
Foreign migrant workers - Female	0	Workers
Workers hired directly - Male	16	Workers
Workers hired directly - Female	23	Workers
Workers hired indirectly - Male	0	Workers
Workers hired indirectly - Female	0	Workers
Unionised workers - Male	0	Workers
Unionised workers - Female	0	Workers
Workers under CBA - Male	0	Workers
Workers under CBA - Female	0	Workers
Pregnant workers	0	Workers

Workers on parental leave - Male	0	Workers
Workers on parental leave - Female	0	Workers
Sample - Male	3	Workers
Sample - Female	2	Workers

FINDINGS



PA1: Social Management System

Site: Shenzhen New Horizon Umbrella Co., Ltd. | Site amfori ID: 156-018741-002

Question: 1.1 Is there satisfactory evidence that the auditee has set up an effective management system to implement the amfori BSCI Code of Conduct?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Open
1.1- Finding: The main auditee partially respects this principle because based on documents review and management interview, the factory had set up management procedures to implement the amfori BSCI Code of Conduct. But not all procedures were properly implemented, such as inadequate injury insurance provided to workers, etc. It violated the requirement of question 1.1 in amfori BSCI system manual.

2023年11月21日跟进审核：未关闭
1.1-发现点：被审核方部分遵循该准则。因为根据文件查阅和管理层访谈，工厂已建立了确保amfori BSCI有效实施的管理制度，但是不是所有制度都得以有效实施，比如员工工伤保险购买不足等。违反了amfori BSCI管理手册中问题1.1的要求。

Question: 1.4 Is there satisfactory evidence that the auditee's workforce capacity is properly organised to meet the expectations of the delivery order and/or contracts?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Closed
1.4-Based on documents review and management interview, the auditee evaluated the production capacity, human resource and equipment status against the delivery requirement and workers' monthly overtime hours were controlled within legal requirement of 36 hours.

2023年11月21日跟进审核：关闭
1.4-根据文件查阅和管理层访谈，被审核方接受订单时有根据客户的交货期，评估自己的生产能力，人员和设备情况，工人的月加班时间也控制在不超过法规要求的36小时。



PA 2: Workers Involvement and Protection

Site: Shenzhen New Horizon Umbrella Co., Ltd. | Site amfori ID: 156-018741-002

Question: 2.2 Is there satisfactory evidence that the auditee defines long-term goals for protecting workers in line with the aspirations of the amfori BSCI Code of Conduct?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Open
2.2- Finding: The main auditee partially respects

2023年11月21日跟进审核：未关闭
2.2-发现点：被审核方部分遵守该原则，因为根据文

Finding

this principle because based on documents review and workers interview, the factory established long term goals to protect workers according to the amfori BSCI Code of Conduct on Feb 20, 2023. But the long-term goals were without step-by-step actions and not known by workers. It violated the requirement of question 2.2 in amfori BSCI system manual.

件查阅和员工访谈，工厂根据amfori BSCI行为准则于2023年2月20日定义了长期目标来保护员工，但长期目标没有制定完善的每阶段的执行计划，而且员工不清楚工厂的长期目标。违反了amfori BSCI管理手册中问题2.2的要求。

Question: 2.4 Is there satisfactory evidence that the auditee builds sufficient competence among managers, workers and workers representatives to successfully embed responsible practices in the business operation?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Open
2.4-The main auditee partially respects this principle. The factory posted the amfori BSCI Code of Conduct on site, but based on worker interview, 50% interviewees were not aware of the amfori BSCI Code of Conduct.
It violated the requirement of question 2.4 in amfori BSCI system manual.

2023年11月21日跟进审核：未关闭
2.4-被审核方（生产商）部分遵循该原则。工厂在现场张贴了amfori BSCI行为守则，但根据员工访谈，50%员工不清楚amfori BSCI行为守则要求。违反了amfori BSCI管理手册中问题2.4的要求。

PA 6: Decent Working Hours

Site: Shenzhen New Horizon Umbrella Co., Ltd. | Site amfori ID: 156-018741-002

Question: 6.2 CRUCIAL: Is there satisfactory evidence that the auditee request of overtime is in line with the requirements of the amfori BSCI Code of Conduct?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Closed
6.2-Based on cross checking the production records, attendance records and workers interview, the attendance records were accurate. By sampling checking, 5 out of 5 workers' monthly overtime working hours were controlled within 36 hours during the period of Aug 2023 to the audit day. Workers' maximum daily overtime hours were 2H, maximum monthly overtime hours were 36 hours and maximum weekly working hours were 48H.

2023年11月21日跟进审核：关闭
6.2-通过对生产记录、考勤记录和工人面谈的交叉核对，考勤记录准确无误。通过抽样检查2023年8月至审计当天的考勤记录，5名工人中有5人的月加班时间控制在36小时以内。工人每天最长加班时间为2小时，每月最长加班时间为36小时，每周最长加班时间为48小时。

PA 7: Occupational Health and Safety

Question: 7.1 Is there satisfactory evidence that the auditee observes occupational health and safety regulations applicable for its activities?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Open
7.1-The main auditee partially respects this principle. The factory had established management system on health and safety, included the identify and awareness of related legal regulation, health and safety check, training, etc. However, there were still some health and safety related findings issued during the audit due to management negligence.
It violated the requirement of question 7.1 in amfori BSCI system manual.

2023年11月21日跟进审核：未关闭
7.1-发现点：被审核方（生产商）部分遵循该原则，原因是工厂已建立了健康安全管理体系文件，包括相关法规的识别与了解，健康安全检查，培训等，但是由于管理疏忽，导致仍然有问题发生。违反了amfori BSCI管理手册中问题7.1的要求。

Question: 7.2 Is there satisfactory evidence that the auditee seeks to improve workers' protection in case of accident, including through compulsory insurance schemes?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Open
7.2-The main auditee partially respects this principle. Based on management interview, worker interview and document review, the facility only provided work-related injury insurance for 34 out of 39 workers. The facility did not provide commercial accident insurance for employees. The management explained the reason for the insufficient participation rate of work-related injury insurance was that there were 5 employees had reached retirement age.
It violated the requirement of question 7.2 in amfori BSCI system manual.

2023年11月21日跟进审核：未关闭
7.2-被审核方部分遵守该原则。根据管理层访谈、员工访谈和文件审核，该工厂39名员工中只有34人提供了工伤保险。工厂没有为员工提供商业意外保险。管理层解释工伤保险参与率不足的原因是有5名员工达到了退休年龄。违反了amfori BSCI体系手册问题7.2的要求。

Question: 7.7 Is there satisfactory evidence that the auditee implements engineering and administrative control measures to avoid or minimise the release of hazardous substances into the work environment, keeping the level of exposure below internationally established or recognised limits?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Open
7.7- The main auditee partially respects this

2023年11月21日跟进审核：未关闭
7.7-被审核方部分遵循该准则。根据现场观察，在装

Finding	
<p>principle. Based on site observation, a small amount of glue used in the assembly process and the glue containers were labeled with safe label, however, by checking with relevant MSDS, the content of the label was inconsistent with the MSDS, e.g., the MSDS indicates the glue was not toxic, but the pictograph marked for the glue was toxic.</p> <p>It violated Regulations on Safety Use of Chemicals in Workplaces (1996), Article 12.</p>	<p>配过程中使用的少量胶水和胶水容器都有安全标签，但通过与相关MSDS核对，标签的内容与MSDS不一致，如MSDS表明胶水无毒，但图示标记为胶水有毒。违反了工作场所安全使用化学品规定（1996）第十二条。</p>

Question: 7.15 CRUCIAL: Is there satisfactory evidence that the auditee ensures that escape routes, aisles and emergency exits in the production site are not blocked, easily accessible and clearly marked?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>1st Follow up audit on 21 Nov 2023: Closed</p> <p>7.15-Based on on-site observation, no production area or warehouse was in the dormitory building where 6 rooms of the audited facility rented for workers living. The room 227 on the 2nd floor of the dormitory building was stored with empty bunk beds. All sampled emergency lights including which on the 2nd floor of the dormitory building were connected to power supply and workable.</p>	<p>2023年11月21日跟进审核：关闭</p> <p>7.15-经现场观察，被审核工厂有6间宿舍出租给工人居住，宿舍楼内没有生产区域和仓库。宿舍楼2楼227房间堆满了空的双层床。所有抽样的应急灯，包括宿舍楼2楼的应急灯，均已接通电源，工作正常。</p>

Question: 7.18 CRUCIAL: Is there satisfactory evidence that the auditee ensures qualified first-aid is available at all times?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>1st Follow up audit on 21 Nov 2023: Closed</p> <p>7.18-Based on on-site testing, the water pressure of the eye washing facility was sufficient.</p>	<p>2023年11月21日跟进审核：关闭</p> <p>7.18-经现场测试，洗眼器水压充足。</p>

PA 9: Special Protection for Young Workers

Site: Shenzhen New Horizon Umbrella Co., Ltd. | Site amfori ID: 156-018741-002

Question: 9.1 Is there satisfactory evidence that the auditee ensures that young persons do not work at night and are protected against conditions of work which are prejudicial to their health, safety, morals and development?

ENGLISH	LOCAL LANGUAGE
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Finding

1st Follow up audit on 21 Nov 2023: Closed
9.1- Based on documents review, the facility had conducted risk assessment of young workers on Sep 26, 2023.

2023年11月21日跟进审核：关闭
9.1- 根据文件查阅，工厂于2023年9月26日对未成年工进行了风险评估。

PA 13: Ethical Business Behaviour

Site: Shenzhen New Horizon Umbrella Co., Ltd. | Site amfori ID: 156-018741-002

Question: 13.1 Is there satisfactory evidence that the auditee actively opposes any act of corruption, extortion or embezzlement, or any form of bribery in its activities as a business enterprise?

ENGLISH

LOCAL LANGUAGE

Finding

1st Follow up audit on 21 Nov 2023: Closed
13.1-Based on documents review, the facility had conducted risk assessment on all activities of Ethical Business Behaviour and draw up proper prevention measure on Sep 26, 2023.

2023年11月21日跟进审核: 关闭
13.1-根据文件查阅，工厂已于2023年9月26日对所有道德商业行为活动进行了风险评估，并制定了适当的预防措施。