
Auditee :	Shenzhen Topsharp Precision Electronics Co., Ltd. (new fab)
Audit Date From :	17/06/2020
Audit Date To :	19/06/2020
Expiry Date of the Audit :	Please refer to the producer profile in the amfori BSCI platform
Auditing Company :	TUEV Rheinland
Auditor's Name(s) :	Alex Zhang(Lead)
Auditing Branch (if applicable) :	TUV Rheinland China



This is an extract of the on line Audit Report. The complete report is available in the amfori BSCI Platform.
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Rating Definitions



Rating	A combination of ratings per Performance Area where:	Consequence																																							
<p style="text-align: center;">A</p> <p style="text-align: center;">Very Good</p>	<ul style="list-style-type: none"> • Minimum 7 Performance Areas rated A • No Performance Areas rated C, D or E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr> </table>	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	B	B	B	A	A	A	A	A	A	A	B	B	B	B	B	B	<p>The auditee has the level of maturity to maintain its improvement process without the need for a follow-up audit.</p>
A	A	A	A	A	A	A	A	A	A	A	A	A																													
A	A	A	A	A	A	A	A	A	A	B	B	B																													
A	A	A	A	A	A	A	B	B	B	B	B	B																													
<p style="text-align: center;">B</p> <p style="text-align: center;">Good</p>	<ul style="list-style-type: none"> • Maximum 3 Performance Areas rated C • No Performance Areas rated D or E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td></tr> <tr><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td></tr> </table>	A	A	A	A	A	A	B	B	B	B	B	B	B	A	A	A	A	A	B	B	B	B	B	B	B	C	B	B	B	B	B	B	B	B	B	B	C	C	C	<p>The auditee has the level of maturity to maintain its improvement process without the need for a follow-up audit.</p>
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B	B	B	B	B	B	B	B	B	B	C	C	C																													
<p style="text-align: center;">C</p> <p style="text-align: center;">Acceptable</p>	<ul style="list-style-type: none"> • Maximum 2 Performance Areas rated D • No Performance Areas rated E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>C</td><td>C</td><td>C</td><td>C</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td></tr> <tr><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td></tr> </table>	A	A	A	A	A	A	A	A	A	C	C	C	C	A	A	A	A	A	B	B	B	B	C	C	C	D	C	C	C	C	C	C	C	C	C	C	C	D	D	<p>The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days.</p>
A	A	A	A	A	A	A	A	A	C	C	C	C																													
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C	C	C	C	C	C	C	C	C	C	C	D	D																													
<p style="text-align: center;">D</p> <p style="text-align: center;">Insufficient</p>	<ul style="list-style-type: none"> • Maximum 6 Performance Areas rated E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>D</td><td>D</td><td>D</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td><td>D</td><td>E</td></tr> <tr><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> </table>	A	A	A	A	A	A	A	A	A	A	D	D	D	A	A	A	B	B	B	C	C	C	D	D	D	E	D	D	D	D	D	D	D	E	E	E	E	E	E	<p>The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days.</p>
A	A	A	A	A	A	A	A	A	A	D	D	D																													
A	A	A	B	B	B	C	C	C	D	D	D	E																													
D	D	D	D	D	D	D	E	E	E	E	E	E																													
<p style="text-align: center;">E</p> <p style="text-align: center;">Unacceptable</p>	<ul style="list-style-type: none"> • Minimum 7 Performance Areas rated E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> <tr><td>A</td><td>A</td><td>B</td><td>B</td><td>C</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> <tr><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> </table>	A	A	A	A	A	A	E	E	E	E	E	E	E	A	A	B	B	C	D	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	<p>amfori BSCI Participants shall closely oversee the auditee's progress as the producer may represent a higher risk than other business partners.</p>
A	A	A	A	A	A	E	E	E	E	E	E	E																													
A	A	B	B	C	D	E	E	E	E	E	E	E																													
E	E	E	E	E	E	E	E	E	E	E	E	E																													
<p style="text-align: center;">Zero Tolerance</p>	<p>A Zero Tolerance issue was identified (see amfori BSCI System Manual Part V – Annex 5: amfori BSCI Zero Tolerance Protocol)</p>	<p>Immediate actions are required. The amfori BSCI Zero Tolerance Protocol is to be followed.</p>																																							

Main Auditee Information



Name of producer :	Shenzhen Topsharp Precision Electronics Co., Ltd. (new fab)		
DBID number :	401004		
Audit ID :	183648		
Address :	301/401/501/701/F, Building D, Area A, Tangxi 2nd Industrial Zone, No. 21, Xijing Road, Gushu, Xixiang, Bao'an District, Shenzhen		
Province :	Guangdong	Country :	China
Management Representative :	Qiang Xu		
Contact person:	Qiang Xu	Sector :	Non-Food
Industry Type :	Mechanical and electrical engineering	Product group :	Electrical supplies
Product Type :	Potable fans, humidifier, power bank, mobile phone accessories, sport bottle and other mini appliances		

Audit Details



Audit Range :	<input checked="" type="checkbox"/> Full Audit	<input type="checkbox"/> Follow-up Audit	
Audit Scope :	<input checked="" type="checkbox"/> Main Auditee	<input type="checkbox"/> Main Auditee & Farms	
Audit Environment :	<input checked="" type="checkbox"/> Industrial	<input type="checkbox"/> Agricultural	<input type="checkbox"/> Small Producer
Audit Announcement :	<input checked="" type="checkbox"/> Fully-Announced	<input type="checkbox"/> Fully-Unannounced	<input type="checkbox"/> Semi-Announced
Random Unannounced Check (RUC) :	No		
Audit extent (if applicable) :	none		
Audit interferences or contingencies (if applicable) :	none		
Overall rating :	C		
Need of follow-up :	Yes	If YES, by : 19/06/2021	

Rating per Performance Area (PA)												
PA 1	PA 2	PA 3	PA 4	PA 5	PA 6	PA 7	PA 8	PA 9	PA 10	PA 11	PA 12	PA 13
D	A	A	A	B	D	A	A	A	A	A	A	A

Executive summary of audit report

The facility was established in 2013, located at 301/401/501/701/F, Building D, Area A, Tangxi 2nd Industrial Zone, No. 21, Xijing Road, Gushu, Xixiang, Bao'an District, Shenzhen (Chinese address as: 深圳市宝安区西乡街道固戍社区西井路21号塘西第二工业区A区D栋301/401/501/701整层). There were seven 7-storey production buildings in the industrial park. The auditee rented 3F to 5F, 7F of one 7-storey production building (factory building D) with about 4240 square meters as production workshop, warehouse and office area, There was no canteen or dormitory provided to workers by the auditee. There was an plastic products factory used 1F of the 7-storey production building for production workshop, the 2F of the 7-storey production building was rented by an electronic company, the 6F of the 7-storey production building was rented by an watches company. Through onsite tour, management interview and workers interview to confirm that, those other companies in the same building had independent business licenses, and there were no share working area or workers between the auditee and the other companies, therefore, this audit only covered the auditee area.

The facility mainly produced Potable fans, humidifier, power bank, mobile phone accessories, sport bottle and other mini appliances with the main production processes assembly, soldering, testing and packing processes. The security guard were hired by the industrial park. There was no production process subcontracted.

Per the management, no obvious low or high season was in the auditee this year. The facility management provided good supporting to the auditor and the audit was carried out in smooth status. The requirement documents were provided for review, and the auditee provided an individual meeting room for workers interview. Opening meeting and close meeting were took successfully.

Remarks:

1. There was no government waiver, CA agreements, contractor or agencies available, therefore, the photos of government waiver, CA agreement, agency labor contract and contractor permit/license were not available.
2. The auditee had moved from the old site: 3F and North of 8F, Area B, First Huafeng Technology Park, Sanwei, Xixiang Street, Bao'an District, Shenzhen (深圳市宝安区西乡街道三围华丰第一科技园B区一栋三楼、八楼北), to the current address (301/401/501/701/F, Building D, Area A, Tangxi 2nd Industrial Zone, No. 21, Xijing Road, Gushu, Xixiang, Bao'an District, Shenzhen, 深圳市宝安区西乡街道固戍社区西井路21号塘西第二工业区A区D栋301/401/501/701整层) since January 2020. The distance of the two places was about 8 km away. During the audit period, auditor had visited both sites, and for the old size, now was used by an semiconductor technology company, and there was no production activity or business related with the auditee anymore. According to management interview to know that, after the factory moved to the new address in January 2020, the address of the business license had been changed, and the factory's external contact with customers was based on the address "301/401/501/701/F, Building D, Area A, Tangxi 2nd Industrial Zone, No. 21, Xijing Road, Gushu, Xixiang, Bao'an District, Shenzhen", the factory manager required to use the English factory address as "301/401/501/701/F, Building D, Area A, Tangxi 2nd Industrial Zone, No. 21, Xijing Road, Gushu, Xixiang, Bao'an District, Shenzhen". In this case, management representative confirmed to deactivate the old DBID 334868 and used the new DBID 401004 from this audit on.
3. The APSCA number of auditor "Alex Zhang" was RA21701868.

Ratings Summary



Auditee's background information			
Auditee's name :	Shenzhen Topsharp Precision Electronics Co., Ltd. (new fab)	Legal status :	Limited company
Local Name :	深圳市同创创精密电子有限公司 (统一社会信用代码: 914403000798230250)	Year in which the auditee was founded :	2013
Address :	301/401/501/701/F, Building D, Area A, Tangxi 2nd Industrial Zone, No. 21, Xijing Road, Gushu, Xixiang, Bao'an District,	Contact person (please select) :	Qiang Xu
Province :	Guangdong	Contact's Email :	184070344@qq.com
City :	Shenzhen	Auditee's official language(s) for written communications :	Chinese
Region :	North East Asia	Other relevant languages for the auditee :	None
Country :	China	Website of auditee (if applicable) :	None
GPS coordinates :	N22°35'33.00" E113°50'52.48"	Total turnover (in Euros) :	7500000.00
Sector :	Non-Food	Of which exports % :	80.00
Industry :	Mechanical and electrical engineering	Of which domestic market % :	20.00
If other, please specify :		Production volume :	2000000 pieces per year
Product Group :	Electrical supplies	Production cost calculation :	Yes
If other, please specify :		Lost time injury calculation cost :	Yes
Product Type :	Potable fans, humidifier, power bank, mobile phone accessories, sport bottle and other mini appliances		

Auditee's employment structure at the time of the audit			
Total number of workers :	176	Total number of workers in the production unit to be monitored (if applicable) :	0
	MALE WORKERS	FEMALE WORKERS	
Permanent workers	88	88	
Temporary workers	0	0	
In management positions	3	1	
Apprentices	0	0	
On probation	0	0	
With disabilities	0	0	
Migrants (national citizens)	71	60	
Migrants (foreign citizens)	0	0	
Workers on the permanent payroll	88	88	
Production based workers	0	0	
With shifts at night	0	0	
Unionised	0	0	
Pregnant	-	0	
On maternity leave	-	0	

Finding Report



Performance Area 1 : Social Management System and Cascade Effect

Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: D

Deadline date:16/06/2021

GOOD PRACTICES:

None

AREAS OF IMPROVEMENT:

Mr. Qiang Xu was appointed as the management representative for the implementation of amfori BSCI to ensure its effective implementation. Mr. Xu had a certain understanding of labor, health and safety, ethics and environmental protection covered by amfori BSCI, and know about the requirements of relevant laws and regulations, the factory had collected relevant laws and regulations. The factory had carried out annual internal audit according to the guidelines of amfori BSCI and assigned the responsible person for corresponding improvement. The factory had a social responsibility audit on major suppliers, including material suppliers and ingredient suppliers. However, gaps were identified on implementing 1.1 and 1.4.

许强先生被任命为实施amfori BSCI的管理者代表以确保其能有效实施。许先生对amfori BSCI覆盖的劳工、健康安全、道德和环保方面有一定的认识，清楚相关法律法规的要求，并且有做相应法规的收集。工厂有根据amfori BSCI的准则进行年度内审和分配负责人进行相应的改善。工厂有对主要的供应商包括物料供应商与配料供应商等进行社会责任方面的审核。但是，1.1和1.4在实施过程中还是有差距。

1.1 - The factory had already established the management policies and procedures to implement amfori BSCI COC, but there were gaps between their operation and the amfori BSCI COC & legal requirement, for example, the factory had no effective working overtime warning and control system, the monthly overtime hours exceeded 36 hours usually, the social insurances could not covered for all employees. The factory did not analyze the root cause for the non-conformity of too much overtime working and social insurance coverage, and take some improving action.

工厂已建立实施amfori BSCI行为守则的政策和程序，但是工厂的实际运作与amfori BSCI行为守则和法律要求之间存在差距，比如工厂未有有效的工时超时预警和控制系统，月加班经常有超36小时，社保也未能覆盖全部员工。工厂未有针对过多加班及社保覆盖率的问题进行根本原因分析，并采取改善措施。

1.4 - The factory had already established program of capacity planning, and provided the production planning form for review. But the factory did not have a good capacity planning to meet the expectations of the delivery order led to workers have overtime work exceeded 36 hours. Meanwhile, the factory did not have the contingency plan in case something slows down or interrupts production. Management representative said that production capacity was based on order condition, human resource and equipment, but it was very difficult to control overtime within 36 hours. The factory did not assess the effective of basic workforce capacity and established the corrective action to improve the workforce capacity.

工厂建立了产能规划程序，也提供了生产计划表查看，但工厂未有一个完善的产能计划去完成预期的订单交货以致于工人的月加班有超过36小时。同时，如果存有减缓或干扰生产的状况，工厂也未具有应急计划。管理者代表表示产能都是基于订单、人力资源、设备等情况来确定的，但是控制在36小时以内比较困难。工厂未评估产能规划的有效性并且制定整改措施来改善产能规划。

Remarks from Auditee:

None

Performance Area 2 : Workers Involvement and Protection

Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A

Deadline date:30/09/2020

GOOD PRACTICES:

None

AREAS OF IMPROVEMENT:

The auditee set up suggestion box and posted grievance telephone, etc. for workers grievance, the auditee also arranged specially-assigned person for opening suggestion box regularly, recording and following up the grievance or suggestion. Worker representative could keep in touch with workers in any place including inside or outside of workplace, and worker representative could exchange information with workers freely. Workers could appeal directly their grievance or suggestion to management, plant manager and worker representative on regulation of labor relations. However, there were still some gaps in implementation:

被审核方设置了意见箱和张贴了投诉电话等给员工进行申诉，被审核方也安排了专人负责定期开启意见箱，记录和跟进投诉和建议。工人代表能够在任何地方（厂内或者厂外）接触员工并与员工自由交换意见。员工可以直接向管理人员、厂长、员工代表反应他们的申诉或者是建议。尽管如此，在实践中仍然存在一些不足：

2.4 - According to documents review and workers interview, the factory had trained employees on the principles of amfori BSCI COC. However, there were still 50% of interviewed employees not familiar with the basic knowledge for amfori BSCI COC, such as the definition of discrimination or performance of forced labor. The factory did not evaluate the effectiveness of the amfori BSCI COC training.

通过文件审阅以及员工访谈确认，工厂已对员工进行amfori BSCI行为守则的培训。仍有50%的被访谈员工还是不熟悉amfori BSCI行为守则的基本知识，例如歧视的定义或强迫劳动的表现。工厂未评估其amfori BSCI行为守则培训的有效性。

Remarks from Auditee:

None

Performance Area 3 : The rights of Freedom of Association and Collective Bargaining	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: <p>The auditee established a written policy and procedure regarding the freedom of association and collective bargaining. It defined workers had right of freedom of association and collective bargaining / Freedom of association was ensured. Worker representatives had meeting with the management every three months, workers or representatives were not discriminated against nor suffered other repercussions because that they freely exercised their right to organize and they participated in or organized legal activities of workers organization. No collective bargain agreement was concluded between the facility and workers, but the auditee did not prevent workers from bargaining for the agreement. Workers representatives could access to workers and workers were free to meet and discuss workplace issues in the facility during their break and before or after work.</p> <p>被审核方针对自由结社和集体谈判建立了书面政策和程序，其中定义了工人拥有自由结社和集体谈判的权利/结社自由是不受限制的。工人代表每3个月和管理层开会，工人或其代表不会因为他们行使组织权，他们参加或组织工人组织的法定活动等而遭受歧视或其他影响。被审核方和员工无集体谈判协议，但工厂也未阻止员工有意愿的时候和工厂谈判。员工代表在休息时间和上下班期间可以自由的会见员工并讨论工作场所问题。</p>	
Remarks from Auditee: None	
Performance Area 4 : No Discrimination	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: <p>The factory made one policy on anti-discrimination. The policy defined that the factory would not discriminate workers by race, gender and ages, etc. Through workers interview to confirm that, workers could use the grievance system through suggestion boxes or telling to worker representatives once workers' right was infringed. Furthermore, the policy on discipline measures made by the factory was in line with legal requirement.</p> <p>工厂制定了反歧视的政策，反歧视政策中表明工厂不会因为种族，性别，年龄等原因对员工区别对待。通过员工访谈确认，若员工的权利受到任何侵害，员工可以通过意见箱和员工代表反馈的形式进行投诉。而且，通过查看工厂的惩戒措施程序，其描述的措施均符合法规要求。</p>	
Remarks from Auditee: None	

Performance Area 5 : Fair Remuneration	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: B	Deadline date:16/06/2021
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: <p>The auditee established series of procedure such as wage policy, annual leave rule, etc. to meet local labor law and amfori BSCI requirement. Through worker interview to confirm that, workers knew their basic rights. During this audit, the auditee provided payroll of June 2019 to May 2020 for review. Through reviewing payment records of 16 sampled workers and workers interview to know that, wages were calculated in hourly rate. The minimum wage was RMB 12.64 per hour which was equal to the local minimum wage requirement (RMB 2200 per month with equivalence to RMB 12.64 per hour since 1 August of 2018). Total wage was including basic wage, overtime compensation, full attendance award, etc. Overtime compensation was paid 1.5 time rate of normal working hour from Monday to Friday, 2 times for week end, no overtime happened on statutory holiday. Workers wages were paid on or before 7th of each month for previous month by cash. Pay slips were provided to workers for rechecking on the date of wages issue date, there was no any improper deduction from wages found in the factory. The factory did not collect the information of fair demand wages or calculate the fair demand wages, but the factory paid a minimum wage of RMB 3971 per month, which was higher than the fair wage requirement calculated by auditor (RMB 2516.91 per month). However, there were still some gaps in implementation:</p> <p>被审核方建立了一系列的程序如工资制度、年假制度等以满足当地劳动法及amfori BSCI的要求。通过工人访谈确认，他们知道自己的基本权利。本次审核期间，被审核方提供了从2019年6月到2020年5月这期间的工资记录供查阅。通过查阅抽样16名员工的工资记录和员工访谈发现，工资按时薪支付。最低工资每小时12.64元等于当地最低工资标准（每月2200元等同于每小时12.64元自2018年8月1日起）。工人的总工资包含基本工资、加班费、全勤奖等，其中周一到周五加班费是基本工资的1.5倍，周末为2倍，没有法定节假日加班。每月7日前或者当天通过现金支付上月的工资。发工资当日，工资条提供给工人核对，未有任何不当扣款被发现。工厂未进行公平需求工资的信息收集和计算，但工厂每月支付最低工资为每月3971元，高于审核员计算的公平需求工资的要求（每月2516.91元）。尽管如此，在实践中仍然存在一些不足：</p> <p>5.5 - According to management interview, worker interview and social insurance records (from June 2019 to May 2020) review, it was noted that the factory did not provide 5-types social insurance to all employees. As per the latest social insurance record (May of 2020), the factory did not provide endowment insurance, work injury insurance, unemployment insurance, basic medical insurance and maternity insurance to 128 employees out of 176 employees. All of those workers were eligible workers, no new workers, retired workers or dispatched workers involved. Through workers interview to know that, partly workers reported that they purchased rural endowment insurance in their hometown, however, but no written evidences were provided. The factory explained the reason for not covering social insurance to all employees was partly workers did not want to purchase social insurance in the facility, because purchasing social insurance would decreased their monthly income. The factory did not have an action or plan to increase the number of workers to participate into the social insurance. Reference law: PRC Labor Law, Article 72 & 73.</p> <p>通过管理层访谈、工人访谈和2019年6月至2020年5月社保查阅发现工厂未向所有员工提供5种类型的社保。根据最近的社保记录（2020年5月），工厂共176名员工中有128名员工未购买养老保险、工伤保险、失业保险、基本医疗保险和生育保险。这部分工人均为合格参保人员，未涉及新员工，退休员工或派遣工等。通过员工访谈得知，部分员工汇报已在老家购买了农村养老保险，但是不能提供书面的证据。工厂解释没有全员覆盖社保的原因是部分员工主动提出不买，因为购买社会保险会减少他们的每月收入。工厂未建立进一步提高社保参与率的行动及计划。参考法规：中华人民共和国劳动法 第72条和第73条。</p>	
Remarks from Auditee: None	
Performance Area 6 : Decent Working Hours	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: D	Deadline date:16/06/2021
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: <p>According to the working hour system policy and implementation records, finger print attendance system was used for recording employees working time. Working time of regular working day was 8 hours per day and 40 hours per week. Workers had one shift of working time: 08:00 to 12:00, 13:30 to 17:30, overtime hours started from 18:30 to 20:30. Overtime working was conducted on a voluntary basis. 2 hours of regular overtime working were conducted for at most 5 times per week and Saturday overtime working hours of at maximum 8 hours was conducted for at most 5 times per month. Attendance records from 1 June 2019 to 19 June 2020 of 16 employees were reviewed randomly, maximum 2 hours overtime per day, maximum 18 hours overtime per week and maximum 84 hours per month, and at least one day off after 6 days consecutive working days was guaranteed. The maximum overtime working hours in June 2020 were 2 hours per day and 42 hours per month (up to the audit date). However, there were still some gaps in implementation:</p> <p>依照工时系统政策以及工厂执行记录，指纹考勤系统用于记录员工上班时间。平时工作日上班时间为每天8小时，每周40小时。工人安排一班制：08:00-12:00，13:30-17:30，加班从下午18:30到20:30。加班采取自愿的原则，2小时的正常加班，频次为每周最多5次，周六加班每次最多8小时，每月不超过5次。查看了2019年6月1日至2020年6月19日16人的的考勤记录，每天加班最多2小时，每周最多18小时和每月最多84小时，并且连续工作6天休息1天。2020年6月的加班时间最多为每天2小时及每月42小时（截至到审核日）。尽管如此，在实践中仍然存在一些偏差：</p> <p>6.2 - The factory did not assess the effectiveness of workforce planning to control the overtime working, and the facility recording system did not have the capacity to flag excessive working hours, which caused the overtime working hours exceeded 36 hours per month. Sampled attendance records from 1 June 2019 to 19 June 2020 of workers and reviewed the working time records of 16 workers, it showed that the monthly overtime hours for 16 sampled workers exceeded 36 hours in all months. For three sampled months: the monthly overtime of 16 workers were 84 hours in August 2019. The monthly overtime of 16 workers were 76 hours in December 2019. The monthly overtime of 16 workers were 72 hours in May 2020. From 1 June 2020 to 19 June 2020, the total maximum monthly overtime working hours of those 16 workers were 42 hours and maximum 2 hours per day. Through workers interview to know that, the overtime arrangements were notified by the production manager, and there was no warning about monthly overtime would be over the legal requirement. Reference law: PRC Labor Law, Article 41.</p> <p>工厂未评估产能规划的有效性来控制加班时间，并且工厂考勤系统没有预警加班超时的功能，导致月加班超36小时。抽样从2019年6月1日到2020年6月19日的考勤记录并且查看了16人的考勤，抽样此16人的月加班时间在所有月份中都是超过36小时。比如如下抽样的三个月：在2019年8月16人加班时间是84小时。在2019年12月16人加班时间是76小时。在2020年5月16人加班时间是72小时。从2020年6月1日至2020年6月19日此16人最大月加班是42小时，每天最多2小时。访谈员工得知，加班安排都是由生产主管通知，未出现预警月加班即将超过法规要求的情况。参考法规：中华人民共和国劳动法 第41条。</p>	
Remarks from Auditee: None	

Performance Area 7 : Occupational Health and Safety	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:30/09/2020
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: <p>The auditee observed OHS law requirement and appointed Mr. Qiang Xu for implementing OHS business. The auditee established OHS committee and regularly held OHS discussion, the auditee conducted OHS risk assessment and it included main workshops, main workplace, special people and disease. The auditee conducted pre-job training for new workers (including PPE training, machine use training, etc.), others workers also conducted regularly safety education. Fire drills were conducted twice per year and latest one was took in June of 2020. The auditee established efficient procedures and systems for reporting and recording occupational accidents and injuries. The fire facilities could meet law and regulation requirement, sufficient fire extinguishers, fire hydrant, fire alarm were equipped and kept daily inspection, all routes were not blocked. The first aid kits were set in each workshop and there was total five first aiders in the workshop. The auditee provide free drinking water in each floor and conduct drinking water inspection and inspection results were normal. The factory did not provided canteen or dormitory to workers, and there was no transportation provided too. However, there were still some gaps in implementation:</p> <p>被审核方遵守职业健康与安全法规的要求，并且指派了许强先生负责职业健康安全事宜。被审核方建立了健康安全委员会，定期进行安全事项讨论，进行了职业健康的风险评估，其中包含了重要的岗位，重要的场所、特种人群和疾病。被审核方对新入职的员工进行岗前培训（如个人防护用品、设备使用等），其他的员工也定期进行安全教育。消防演习每年进行两次，最近一次是在2020年6月。被审核方已建立一个有效的程序和系统汇报和记录职业意外和伤害情况。消防设施都是满足法规的要求，如灭火器、消防栓、警铃等足够，并且保持日常检查，通道没有被堵塞等。每个车间都配置有医疗箱，车间共有5名急救员。被审核方提供了免费饮用水在每个楼层，并进行了水质检查，检测结果正常。工厂未提供餐厅或宿舍给员工，也未提供交通工具。尽管如此，在实践中仍然存在一些不足：</p> <p>7.2 - The factory only purchased work injury insurance to 48 employees, there were 128 employees did not join in work injure insurance or purchase commercial accidentance insurance as supplement. Reference law: Social Insurance Law of the People's Republic of China, Article 33. 工厂仅为48名员工购买了工伤险，有128名员工未购买工伤险或者是商业意外险作为补充。参考法规：中华人民共和国社会保险法 第33条。</p> <p>7.4 - Through workers interview to know that, workers or workers representatives were not invited to participate in the risk assessment of health and safety. The health and safety risk assessment was conducted in November of 2019, but there was no evidence showed that the workers or worker representational health and safety risk assessment, such as there was no signature of workers or worker representatives in the occupational health and safety risk assessment records. 通过员工访谈得知，员工或员工代表未受邀参加健康安全的风险评估，工厂在2019年11月进行了健康安全的风险评估，但未有证据表明工人或工人代表参与了健康安全风险评估，如职业健康安全风险评估记录未有工人或工人代表的签名。</p> <p>7.7 - During the onsite tour, it was noted that the thinner stored in assembly workshop were missing relevant safety labels. Through management interview to know that, factory did not know about the relevant requirements. Reference Law: Regulations on Safety Use of Chemicals in Workplaces, Article 12. 现场审核发现，组装车间存放的白电油未张贴相应安全标签。访谈管理层得知，工厂不清楚相关的要求。参考法规：工作场所安全使用化学品规定第12条。</p> <p>7.11 - The factory did not provide the construction finished inspection permit or any fire service inspection certificate or record of production building for review. According to on site observation, the building structure were safe, no obvious settlement cracks and equipped with adequate fire-fighting facilities. The total area of production building was about 7420 square meters, the auditee used for about 4240 square meters. The completion time of the building was 2006. Reference Law: Construction Law of the People's Republic of China, Article 61 & PRC Fire Prevention Law, Article 11 and Article 13. 工厂未提供厂房的竣工验收报告以及任何的消防验收报告以供审核。通过现场观察建筑结构是安全的，没有看到明显的沉降裂缝且配备了足够的消防设施。生产楼的总面积为约7420平方米，工厂使用约4240平方米，此建筑的竣工时间是2006年。参考法规：中华人民共和国建筑法 第61条及中华人民共和国消防法 第11条和第13条。</p>	
Remarks from Auditee: None	
Performance Area 8 : No Child Labour	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: <p>The auditee has established a procedure named Prohibiting Hire Child Labor Policy and Rescue Measure. The management knows the worker less than 16 years old hired is illegal. Workers' ID cards and the workers ages verification per specific age-verification mechanism. Meanwhile, the facility established remediation measure of child labor in order to set up measure of recruiting child labor incidentally. No child labor was found in the factory.</p> <p>工厂建立了禁止招聘童工政策和补救措施。管理层知道雇佣低于16周岁的员工是非法的。工人的身份证和工人年龄验证遵循明确的年龄确认机制。与此同时，工厂制定了童工补救措施以防万一发现童工的应对措施。工厂内没有发现童工。</p>	
Remarks from Auditee: None	

Performance Area 9 : Special protection for young workers	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: The auditee had established the written procedure and requirement for protection of young workers. It included the factory could not arrange workers engaged in hazardous, unsafe and unhygienic work, such as soldering process and so on. Under any circumstances, the young workers could not spend more than 10 hours in class, work and transportation every day, and could not work exceed 8 hours per day, and they cannot arrange to work at night. No young workers employed in the facility and all employees were above 18 years old. 被审核方建立了书面的程序和要求以保护未成年工, 其中包含不能安排未成年工从事如焊锡等一切有危险性、不安全和不卫生的工作。在任何情况下, 未成年工每天上课、工作和交通所有时间不可以超出10小时, 且每天工作时间不能超出8小时, 同时不能安排在晚上上班。被审核方未雇佣未成年工且全部员工年龄都超过18周岁。	
Remarks from Auditee: None	
Performance Area 10 : No Precarious Employment	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: The auditee established employment procedure and it included signing labor contract, probation period, training, etc. Through reviewing personal profile and labor contract from 16 sampled workers, the auditee signed the labor contract with workers for three years without any probation period, moreover, labor contract defined working hour, basic wage, payment date, training, labor protection, etc. No precarious employment was applied in this factory such as no dispatching workers, no temporary workers, and no student workers. 被审核方建立了雇佣程序, 其中包含规定了签订劳动合同, 试用期, 培训等内容。通过查看抽样的16名员工的入职档案和劳动合同, 被审核方与工人签订了3年的劳动合同, 且没有试用期, 另外, 劳动合同还规定了工作时间、基本工资、发工资时间、培训、劳动保护等内容。被审核方没有不稳定的雇佣关系, 如没有使用派遣工, 临时工, 学生工等。	
Remarks from Auditee: None	
Performance Area 11 : No Bonded Labour	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: The auditee established the full policy and procedure and it included employment was voluntary, never allowed any forced labor, could not use deception to induce workers to work in the factory, prohibition of prison worker; those workers who handling the entry procedures strictly abided workers manual and no one was allowed to ask new employee for an introduction fee. And the auditee was not allowed to accept deposit or a detained identity card and other valid legal documents. Through worker interview, document review, factory tour, no worker was subjected to inhumane or degrading treatment, corporal punishment, mental or physical coercion or verbal abuse. 被审核方建立了完善的程序和政策, 其中包含用工以自愿为原则, 绝不允许有任何强迫劳动行为, 不能利用欺骗手段引诱工人来本厂工作, 禁止聘用囚工。凡是办理入厂手续的员工, 严格遵守公司员工手册, 不允许任何人向新员工索取入厂介绍费, 同时公司聘用工人一律不准收取押金或者扣押身份证和其他有效法定证明文件。通过员工访谈、文件查阅、现场走访, 没有工人受到不人道或有辱人格的待遇、体罚、精神上或身体上压迫或言语虐待。	
Remarks from Auditee: None	

Performance Area 12 : Protection of the Environment	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:31/10/2020
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: <p>The auditee established the policy and procedure of environment protection, and appointed Mr. Qiang Xu to be responsible for the environment improvement. The main processes of the auditee were assembly, soldering, testing and packing, in process of manufacturing, no waste gas or waste water were produced from the producing process. The factory provided the pollution discharge registration receipt for reviewed (the pollution discharge registration receipt No. was: 914403000798230250001Y). The factory had took the monitoring of waste gas and noise around the factory boundary, the results meet the requirements of laws and regulations. The auditee established water resource management procedure to ensure to promote water conservation and water waste reduction. However, there were still some gaps in implementation: 被审核方已经建立了环境保护的政策和程序,同时指派许强先生为环境改善负责人。工厂的主要工序有组装、焊锡、测试和包装,在生产过程中,未有废气和废水产生。工厂提供了排污登记回执以供审核(排污登记回执编号为:914403000798230250001Y)。工厂已进行厂界周边废气与噪音的监控,其结果符合法规的要求。被审核方建立了水资源管理程序,来确保提高节水和减少废水的能力。尽管如此,在实践中仍然存在一些不足:</p> <p>12.1 - The factory did not provided Environmental impact Assessment (EIA) report and EIA approval for review. Reference law: Law of the People's Republic of China on the Environmental Impact Assessment, Article 16 and Article 22. 工厂未能提供环境影响评估报告表及环评批复以供审核。参考法规: 中华人民共和国环境影响评价法 第16和22条。</p>	
Remarks from Auditee: None	
Performance Area 13 : Ethical Business Behaviour	
Full Audit [Audit Id - 183648] Audit Date: 17/06/2020 PA Score: A	Deadline date:30/09/2020
GOOD PRACTICES: None	
AREAS OF IMPROVEMENT: <p>The factory had established its ethic policy and trained to workers. The factory management kept all resigned employees' personnel files or labour contracts and provided attendance records for review on audit day. The auditee established the procedure to protect private personal information including workers profile, labor contract, rewards and punishment record, body examination report, etc. However, there were still some gaps in implementation: 工厂制定了相关的廉政政策并且培训给员工。工厂保留了所有离职员工的人事档案和劳动合同并且审核当天提供了员工考勤记录。被审核方制定了关于个人信息保护的程序,其中包含个人档案、劳动合同、奖惩记录、体检报告等。但是,在实践中仍然存在一些不足:</p> <p>13.4 - The factory had established procedures and policy on protecting personal privacy, such as personal information and personal health check information of employees. However, the factory did not train the employees in relevant procedures and policies. 工厂已建立有关保护个人隐私的程序和政策,例如保护员工个人信息与体检记录信息等。但工厂未对员工进行相关程序与政策的培训。</p>	
Remarks from Auditee: None	

Summary



Audit Type	Date	Audit Id	PA1	PA2	PA3	PA4	PA5	PA6	PA7	PA8	PA9	PA10	PA11	PA12	PA13	Overall Rating
Full Audit	17/06/2020	183648	D	A	A	A	B	D	A	A	A	A	A	A	A	C

Producer Photos



External photo(s) of the production unit(s)
Factory Gate.JPG



Photo of fire safety equipment
Fire Hydrant Test.JPG



Photo of the inside of the main production hall
Packing.JPG



External photo(s) of the production unit(s)
Factory Name.JPG



Photo of fire safety equipment
Fire Hydrant.JPG



Photo of the inside of the main production hall
Raw Material Warehouse.JPG



External photo(s) of the production unit(s)
Production Building.JPG



Photo of fire safety equipment
Fire Sprinkler System.JPG



Photo of the inside of the main production hall
Soldering.JPG



Photo first aid facilities
Eye Washer.JPG



Photo of non-conformity
NC 5.5 Did not provide 5 types social insurance to all employees.JPG



Photo of the inside of the main production hall
suggestion Box.JPG



Photo first aid facilities
First Aid Kit.JPG

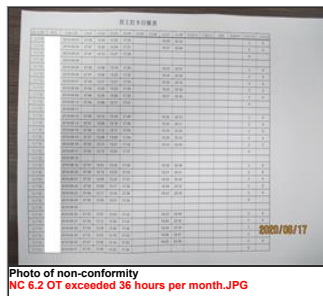


Photo of non-conformity
NC 6.2 OT exceeded 36 hours per month.JPG



Photo of the inside of the main production hall
Testing.JPG



Photo of chemical storage room (if applicable)
Chemical Store Area.JPG



Photo of non-conformity
NC 7.7 Thinner missing relevant safety labels.JPG



Photo of the personal protection equipments (if applicable)
Occupational Hazard Notification Card.JPG



Photo of chemical storage room (if applicable)
MSDS.JPG



Photo of the code of conduct on display
Post amfori BSCI COC.JPG



Photo of the personal protection equipments (if applicable)
PPE Warning Sign.JPG



Photo of fire safety equipment
Emergency Light and Exit.JPG



Photo of the inside of the main production hall
Assembly Workshop.JPG



Photo of the personal protection equipments (if applicable)
Worker Wear PPE.JPG

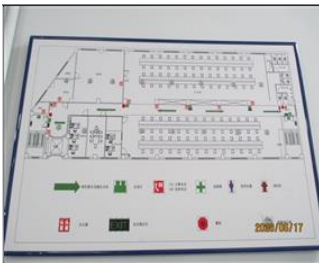


Photo of fire safety equipment
Evacuation Plan.JPG



Photo of the inside of the main production hall
Attendance Machine.JPG



Photo of the sanitary facilities
Potable Water.JPG



Photo of fire safety equipment
Fire Alarm.JPG



Photo of the inside of the main production hall
Finished Production Warehouse.JPG



Photo of the sanitary facilities
Toilet.JPG



Photo of fire safety equipment
Fire Extinguisher.JPG