
| | |
|-----------------------------------|-------------------------------------------------------------------------|
| Auditee : | Zhongshan Hauni Lighting Co., Ltd |
| Audit Date From : | 30/10/2019 |
| Audit Date To : | 31/10/2019 |
| Expiry Date of the Audit : | Please refer to the producer profile in the amfori BSCI platform |
| Auditing Company : | TUEV Rheinland |
| Auditor's Name(s) : | Jason Deng(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.
Access www.bsciplatform.org, for entitled users only.

All rights reserved. No part of this publication may be reproduced, translated, stored in a retrieval system, or transmitted, in any form or by any means electronic, mechanical, photocopying, recording or otherwise, be lent, re-sold, hired out or otherwise circulated without the amfori consent.

This is an extract of the amfori BSCI Audit Report, which is available in the amfori BSCI Platform. © amfori, 2018 - The English version is the legally binding One.

Rating Definitions



| Rating | A combination of ratings per Performance Area where: | Consequence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>A 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>B 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> |
| 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>C 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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>D 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>E 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>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 : | Zhongshan Hauni Lighting Co., Ltd | | |
| DBID number : | 374360 | | |
| Audit ID : | 166200 | | |
| Address : | No. 2, Dongbei 6 Road, Gusan Industrial Avenue, Guzhen Town, Zhongshan | | |
| Province : | Guangdong | Country : | China |
| Management Representative : | Mr. Jianshen Su | | |
| Contact person: | Jianshen Su | Sector : | Non-Food |
| Industry Type : | Mechanical and electrical engineering | Product group : | Electrical supplies |
| Product Type : | Lamps | | |

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 : 31/10/2020 | |

| 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 auditee was located at No. 2, Dongbei 6 Road, Gusan Industrial Avenue, Guzhen Town, Zhongshan, Guangdong (广东省中山市古镇镇古三村工业大道东北六路2号) and was established in year 2010. There were one 6-storey buildings and this building was owned by local village. The total area was about 10800 s.q. meters. The auditee rented whole building as production unit, warehouse and office: the 1-2F were used as incoming warehouse, the 3F was used as office room, the 4-5F were used as production workshop, and the 6F was used as finished products warehouse. No canteen or dormitory were provided for workers. No any other factory was inside of the factory boundary.

The auditee specialized in manufacturing lamps and its main production processes were assembling, testing and packing.

No obvious high and low season was in this factory.

Only one entrance guard was applied in this factory and he had the same shift with workers. The auditee would close factory door when shift over or holiday. No any process or service was subcontracted to other company.

During audit, management were very friendly. Opening and closed meeting were held successfully. No any interference happened during worker interview. Management also allowed auditor to take some photos onsite.

Through factory tour, document review, management and worker interview, no child labor, no discrimination, no force labor, no unethical case were found in this factory; no young workers were applied in this factory. Worker representative were elected by workers by freely. The auditee allowed to have the right of freedom of association and collective bargaining for workers. The auditee signed labor contract with worker following local labor contract.

Remark:
 1). There was no agencies labor and all workers were directly employed by the auditee, so no agency labor contract was applied in this factory. There was no contractor used in the factory, so contractor license/permit was not needed in the factory. The auditee did not obtain any government waivers such as social insurance, working hours; no collective bargaining agreements was signed with workers. Therefore, related documents could not be uploaded to platform.
 APSCA registration number: 21701849

Ratings Summary



| Auditee's background information | | | |
|-----------------------------------------|---------------------------------------------------------------------|-------------------------------------------------------------|----------------------------|
| Auditee's name : | Zhongshan Hauni Lighting Co., Ltd | Legal status : | Limited Company |
| Local Name : | 中山市豪尼灯饰照明有限公司 (统一社会信用代码9144200055369003XF) | Year in which the auditee was founded : | 2010 |
| Address : | No. 2, Dongbei 6 Road, Gusan Industrial Avenue, Guzhen Town, | Contact person (please select) : | Jianshen Su |
| Province : | Guangdong | Contact's Email : | 2127516207@qq.com |
| City : | Zhongshan | 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°37'57"E113°10'10" | Total turnover (in Euros) : | 5100000.00 |
| Sector : | Non-Food | Of which exports % : | 100.00 |
| Industry : | Mechanical and electrical engineering | Of which domestic market % : | 0.00 |
| If other, please specify : | | Production volume : | 660000 pcs per year |
| Product Group : | Electrical supplies | Production cost calculation : | Yes |
| If other, please specify : | | Lost time injury calculation cost : | Yes |
| Product Type : | Lamps | | |

| Auditee's employment structure at the time of the audit | | | |
|----------------------------------------------------------------|---------------------|----------------------------------------------------------------------------------|----------|
| Total number of workers : | 95 | Total number of workers in the production unit to be monitored (if applicable) : | 0 |
| | MALE WORKERS | FEMALE WORKERS | |
| Permanent workers | 39 | 56 | |
| Temporary workers | 0 | 0 | |
| In management positions | 8 | 7 | |
| Apprentices | 0 | 0 | |
| On probation | 0 | 0 | |
| With disabilities | 0 | 0 | |
| Migrants (national citizens) | 29 | 48 | |
| Migrants (foreign citizens) | 0 | 0 | |
| Workers on the permanent payroll | 39 | 56 | |
| 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 - 166200] Audit Date: 30/10/2019 PA Score: D

Deadline date:29/10/2020

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

Management procedures basing on legal requirement and amfori BSCI CoC were established, and management would review them annually or if any update. The auditee appointed Mr. Jianshen Su/quality manager as management representative to implement amfori BSCI operation, including daily operation and monitoring. The CSR performance of important business partners were regularly supervised (including to sign social accountability commitment, to assess social performance of suppliers, to pass amfori BSCI CoC and amfori BSCI Tol for them). However, gaps have been identified in implementation during this audit:

依据amfori BSCI行为守则和法规的要求建立了管理程序, 管理层每年或者当有更新的时候会评审这些管理程序。被审核方已任命品质经理苏健深作为管理者代表以保证amfori BSCI体系的运行, 包括日常运行以及监管。重要商业合作伙伴的社会绩效被定期监管, 其中包含要求供应商签订社会责任承诺书, 评估了供应商的社会责任表现, 传达amfori BSCI行为准则和amfori BSCI商业伙伴专用实施条款给供应商。尽管如此, 在实践中仍然存在一些不足:

1.1 - Through management interview, document review and factory tour, the CSR management system was not completed in implementation. For example, the auditee identified these findings of CSR system by annual internal audit, but did not take improved measures for insufficient social insurance; no contingency plan to control working hours; for OHS, did not buy accident insurance for all workers, fire drills and regular inspection records of power facilities were not well preserved.

通过管理人员访谈、文件查阅和现场查看, 被审核方的社会责任管理系统在执行上不够完善。例如, 被审核方已经通过每年的内审来识别社会责任体系中的问题, 但是对于识别出来的社保不足没有采取改进措施; 对于工时的控制, 没有制定应急计划; 在职业健康安全方面, 没有给所有的工人都购买意外险, 消防演习和电力设施定期的检查记录保存不完善。

1.4 - The auditee established capacity planning procedure. But the auditee did not establish a contingency plan in case something slows down, interrupts, sudden increasing production. Through reviewing working hours records from 1 October 2018 to 31 October 2019, monthly overtime could not meet labor law requirement and more detailed as PA 6.2

被审核方已经建立了产能规划程序。但是, 被审核方没有建立产能应急计划, 以防止一旦出现减缓、干扰生产或者突然增加生产的状况。通过查看2018年10月1日到2019年10月31日的工时记录, 月加班不能满足劳动法的要求, 更详细如PA 6.2。

Remarks from Auditee:

None

Performance Area 2 : Workers Involvement and Protection

Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A

Deadline date:29/01/2020

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

2.2 - The auditee defined long-term goals to protect workers according to the amfori BSCI values and principles or its amfori BSCI performance. For example, how to reduce overtime hours, how to improve social insurance, etc. However, workers and workers representatives genuinely did not involve in defining these goals and the auditee did not public these goals.

被审核方有根据amfori BSCI价值和原则或amfori BSCI表现去定义长期的目标去保护员工, 比如如何降低加班时间, 如何提高社保参保等。但是, 工人和工人代表没有真正参与确立这些目标, 被审核方也没有将这些目标公示出来。

Remarks from Auditee:

None

Performance Area 3 : The rights of Freedom of Association and Collective Bargaining

Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A

Deadline date:

GOOD PRACTICES:

None observed

AREAS OF IMPROVEMENT:

Remarks from Auditee:

None

| | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Performance Area 4 : No Discrimination | |
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A | Deadline date: |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: | |
| Remarks from Auditee: None | |
| Performance Area 5 : Fair Remuneration | |
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: B | Deadline date:29/10/2020 |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: | |
| <p>The auditee established series of procedure such as wage rule, annual leave rule, sick leave rule, etc. to meet local labor law and amfori BSCI requirement. Through worker interview, they knew their basic rights, and could obtain annual leave, sick leave, etc. following factory rule. During this audit, the auditee provided payroll of October 2018 to September 2019 for review. Through reviewing payment records of 14 sampled workers and worker interview, it was note that wages were calculated by hourly rate and it was minimum RMB 9.89 /hour (local minimum wage was RMB1720/month with equivalence to RMB 9.89/hour). Total wage was including basic wage, overtime compensation, and allowance. Overtime compensation was paid 1.5-time rate of normal working hour and 2.0-time rate of normal working hours (no statutory holiday overtime in the past of one year). No any deduction from wages was found. Workers were voluntary to participate social insurance. Wages were paid on or before 30th of each month for previous month by cash. Pay slips were provided to workers on the date of wages issue date. However, there were still some gaps in implementation:</p> <p>为了满足当地劳动法和amfori BSCI的要求, 被审核方建立了一系列的程序如工资制度、年假制度、病假制度等。通过工人访谈, 他们知道自己的基本权利, 同时也能够按照厂规获得年假、病假等。本次审核期间, 被审核方提供了从2018年10月到2019年9月这期间的工资记录供查阅。通过查阅抽样14名员工的工资记录和员工访谈, 发现工资按小时支付, 每小时9.89元(当地最低工资为每月1720元相当于每小时9.89元)。工人的总工资包含基本工资、加班费、津贴; 其中平时加班费是基本工资的1.5倍, 周末加班是基本工资的2倍(过去一年没有法定假日加班)。没有任何扣款被发现。工人自愿参加社保。每月30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。尽管如此, 在实践中仍然存在一些不足:</p> <p>5.5 - Insufficient social insurance participation. At present, the auditee had 95 employees and three workers entered the factory less than one month and no workers reached the retired age. Up to audit date, 92 employees were eligible to buy social insurance, but through social system review from November 2018 to October 2019, latest records was showing that 65 employees did not participate in basic medical insurance, basic endowment insurance, unemployment insurance, maternity insurance, employment injury insurance. Through worker interview, partial workers have bought local endowment insurance at their hometown, so they were unwilling to purchase at the factory; other workers thought they would pay for too much additional fee of social insurance and it was very difficult to transfer, so they were unwilling to buy; management said they would buy social insurance for all workers only if they would. Moreover, the auditee did not retain evidence of workers own purchasing of social insurance. Reference law: PRC Labor Law article 72 & 73.</p> <p>社会保险参保不足。目前被审核方有95名员工, 3名员工入职不到一个月, 未达到退休年龄的员工。截至审核当天, 符合购买社保条件的员工为92人, 但是通过查看2018年11月到2019年10月的社保系统, 最新记录显示65名员工没有参加基本医疗保险、基本养老保险、失业保险、生育保险、工伤保险。通过员工访谈, 部分员工已经在自己的家乡购买了当地养老保险, 所以他们不愿意购买; 另外一些员工认为基本养老保险需要支付太多额外的费用, 并且社保转移比较麻烦, 所以他们不愿意购买。通过管理者访谈, 只要员工愿意买, 工厂愿意为所有的员工购买社保; 另外, 被审核方没有保留员工自己购买社保的证据。参考《中华人民共和国劳动法》第72和73条。</p> | |
| Remarks from Auditee: None | |

| Performance Area 6 : Decent Working Hours | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: D | Deadline date:29/10/2020 |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: <p>The auditee established working hours control procedure to meet local labor law and amfori BSCI requirement. Through reviewing worker manual it would consider as overtime if exceeding legal working hours and overtime must be approved by workers; also it defined daily overtime was not more than 3 hours and monthly overtime was not more than 36 hours. During this audit, the auditee provided working hours records of 1 October 2018 to audit date (31 October 2019) for review. Through reviewing working hours records of 14 sampled workers and worker interview, it was noted that the normal working hour was 5 days (from Monday to Friday) per week and 8 hours per day, and it was considered as overtime out of 8 hours. The auditee used fingerprint and facial recognition working hour system to record working hours. One shift was applied for all workers and normal working hour was 08:00-12:00, 14:00-18:00, overtime was 19:00-21:00. All overtime work was voluntarily chosen for workers and was normally arranged for 2 hours per night and for 8 hours per Saturdays if need; the maximum weekly overtime was 18 hours and at least one day off after 6 days consecutive working days was guaranteed. However, there were still some gaps in implementation:</p> <p>为了满足当地劳动法和amfori BSCI的要求, 被审核方建立了工作时间控制程序。通过查看员工手册, 显示法定工作时间以外上班视为加班, 加班必须经员工同意; 并且规定每天加班不超过3小时, 每月不超过36小时。本次审核期间, 被审核方提供了从2018年10月1日到审核当天(2019年10月31日)这期间的工时记录供查阅。通过抽样其中14名员工的工时记录和员工访谈, 发现正常工作时间为每周5天(从周一到周五), 每天工作8小时, 8小时以外的属于加班。被审核方使用指纹和面部识别考勤系统记录员工考勤。所有员工是一班制度, 正常上班时间08:00-12:00, 14:00-18:00, 加班19:00-21:00。所有的加班都是自愿的, 正常工作日的加班为每晚2小时; 如果有需要, 周六8小时; 每周最大加班18小时, 连续工作6天休息1天。尽管如此, 在实践中仍然存在一些不足:</p> <p>6.2 - The auditee did not establish a contingency plan in case something slows down, interrupts, sudden increasing production. Through reviewing working hours records of 14 sampled workers from 1 October 2018 to 31 October 2019, it was noted that max monthly overtime was up to 62 hours in December 2018 for all sampled workers, up to 36-42 hours in May 2019 for all sampled workers, up to 36-48 hours in September 2019 for all sampled workers, up to 32 hours from 1 October 2019 to audit date for all sampled workers. Manager said they had working hours controlling plan and normally they needed to arrange production plan based on order status and it was difficult to keep monthly overtime within 36 hours; Last year, the industry economy was better, and there were more orders and overtime was more at the end of the year; industry economy of this year was sluggish, orders were relatively small and workers had less overtime. Through workers interview, they all were voluntary to have overtime and hoped more overtime to increase their income. Reference law: PRC Labor Law article 41.</p> <p>被审核方没有建立产能应急计划, 以防止一旦出现减缓、干扰生产或者突然增加生产的状况。通过查看14名抽样的员工从2018年10月1日至2019年10月31日考勤记录发现: 2018年12月所有抽样员工月加班为62小时, 2019年5月所有抽样员工月加班为36-42小时, 2019年9月所有抽样员工月加班为36-48小时, 从2019年10月1日到审核当天所有抽样员工月加班为32小时。管理人员说他们有工时控制计划, 通常他们都是需要根据订单的情况来安排生产, 但是在订单多的情况下控制月加班在36小时以内是非常困难的; 去年行业经济较好, 订单也多, 年底加班多; 今年行业经济低迷, 订单相对少, 员工加班就少。通过员工访谈, 他们都是自愿加班, 并且希望更多的加班以增加收入。参考《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 - 166200] Audit Date: 30/10/2019 PA Score: A | Deadline date:29/03/2020 |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: <p>Overall, the auditee observed OHS law requirement and conducted OHS risk assessment including special people (such as young workers, pregnant woman, etc.) and disease (such as the transmittable and non-transmittable diseases). The auditee conducted regularly safety education; fire drills were conducted twice per year; it was in November 2018 and May 2019. Proper label and MSDS were provided for chemicals. All electricity facilities maintained well. All fire facilities could meet law and regulation requirement; sufficient fire extinguishers, fire hydrant, fire alarm were equipped and kept monthly inspection. No routes were blocked; all routes and exit doors were marked clearly; evacuation plans were posted on workplace. Necessary first aid facilities were provided, such as first aid kit in each workshop. The auditee provided bottle drinking water in each workshop for workers. No dormitory, canteen and transportation were provided for workers. However, there were still some gaps in implementation:</p> <p>总体上, 被审核方遵守职业健康安全法规的要求, 并进行了职业健康的风险评估, 其中包含了特种人群(如未成年工、孕妇等)和疾病(如传染病、非传染病等)。被审核方定期对员工进行安全教育; 消防演习每年进行两次, 分别是2018年11月和2019年5月。车间用到的化学品都有正确的标识和提供MSDS。所有的电力设施都保持良好。所有的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, 并且每月保持检查。通道没有被堵塞, 并且都清晰有疏散标示、出口标示等; 疏散图在每个车间都正确张贴。急救措施完善, 如在每个车间都有医疗箱。被审核方提供了桶装水在每个楼层, 员工可以免费取用。没有宿舍、饭堂和交通工具提供。尽管如此, 在实践中仍然存在一些不足:</p> <p>7.2 - Through reviewing social insurance records (from November 2018 to October 2019), so far, 68 out of 95 employees did not participate in any insurance (such as employment injury insurance or group insurance). Reference law: Social Insurance Law of the People's Republic of China, Article 33. 通过查看社保系统(从2018年11月到2019年10月), 截至目前为止, 95人中有68人没有参加任何意外险(如工伤险或团体险); 参考《中华人民共和国社会保险法》第33条。</p> <p>7.5 - The auditee conducted fire drill, but records of fire drill did not include evacuation picture of workshop, evacuation duration (from start of fire drill to assembling completion) and number of workers participated (need to include the number of workers who should participate and actual number of workers). 被审核方进行了消防演习, 但是消防演习记录中没有包含车间疏散的图片、疏散的时间(从演习开始到集合完毕)和参与演习的人数(需要包含应该参加的人数和实际参加的人数)。</p> <p>7.8 - The auditee developed accident and emergency procedures including fires, floods, heatstroke, typhoons and so on, but not displayed it in a way that was clear for workers, and workers and their representatives were not involve in developing this procedures. 被审核方制定了意外和应急程序, 其中包含了火灾、水灾、中暑、台风等, 但是没有将其以工人清晰可见的方式展示出来, 同时也没有邀请工人和工人代表参与开发。</p> <p>7.13 - The auditee externally employed one electrician to check electricity facilities, but the auditee did not provide the checking record for electricity installation and equipment. Reference law: Provisions on the Administration of Fire Control Safety of State Organs, Organizations, Enterprises and Institutions, article 26. 被审核方有外聘一位电工进行电力设施的检查, 但是没有保留电力设施的检修记录。参考《机关、团体、企业、事业单位消防安全管理规定》第26条。</p> | |
| Remarks from Auditee: None | |
| Performance Area 8 : No Child Labour | |
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A | Deadline date: |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: | |
| Remarks from Auditee: None | |
| Performance Area 9 : Special protection for young workers | |
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A | Deadline date: |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: | |
| Remarks from Auditee: None | |

| | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| Performance Area 10 : No Precarious Employment | |
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A | Deadline date: |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: | |
| Remarks from Auditee: None | |
| Performance Area 11 : No Bonded Labour | |
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A | Deadline date: |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: | |
| Remarks from Auditee: None | |
| Performance Area 12 : Protection of the Environment | |
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A | Deadline date: |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: The auditee established the policy and procedure of environment protection, and the auditee filled environment impact registration. Main processes were assembling, testing and packing. In process of manufacturing, no any waste air, industrial waste water, noise were produced and solid waste also only included waste components and packing material, so environmental certificate was not applicable such as discharge permit and PA 12.3 was NA. 被审核方已经建立了环境保护的政策和程序，并填写了环境影响登记表。被审核方的主要工序有组装、测试和包装；在生产过程中，没有任何的废气、工业废水、噪音产生；固体废弃物也只有废弃的配件和包装纸，故环境证书不适用，如排污许可证，PA12.3为NA。 | |
| Remarks from Auditee: None | |
| Performance Area 13 : Ethical Business Behaviour | |
| Full Audit [Audit Id - 166200] Audit Date: 30/10/2019 PA Score: A | Deadline date:29/10/2020 |
| GOOD PRACTICES: None observed | |
| AREAS OF IMPROVEMENT: 13.2 - Address information of business license was not completed. Through management interview and document review, the business license showed the address "A1, First Floor, No. 2, Dongbei 6 Road, Gusan Industrial Avenue, Guzhen Town, Zhongshan", but actual address of factory were whole building. Reference law: Regulations of PRC for controlling the registration of enterprises as legal persons Article 17. 被审核方营业执照中的地址信息不完整。通过管理者访谈和文件审核发现，被审核方的营业执照显示的地址是“中山市古镇镇古三村工业大道东北六路2号首层第1卡”，但是实际使用整栋建筑。参考《中华人民共和国企业法人登记管理条例》第17条。 | |
| 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 | 30/10/2019 | 166200 | 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 building.JPG



External photo(s) of the production unit(s)
factory entrance.JPG



Photo first aid facilities
first aid kit.JPG



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



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



Photo of fire safety equipment
emergency exit and emergency light.JPG

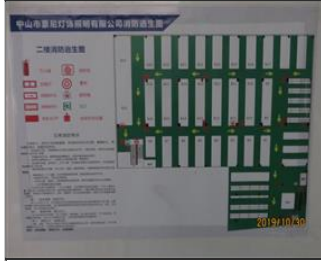


Photo of fire safety equipment
escape map posted in workshop.JPG



Photo of fire safety equipment
fire alarm.JPG



Photo of fire safety equipment
fire extinguishers.JPG



Photo of fire safety equipment
fire hydrant testing.JPG



Photo of fire safety equipment
fire hydrant.JPG



Photo of fire safety equipment
sufficient pressure of fire extinguisher.JPG



Photo of non-conformity
NC PA 5.5 insufficient social insurance.JPG

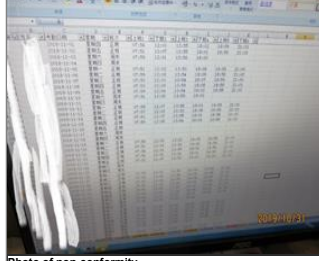


Photo of non-conformity
NC PA 6.2 monthly overtime exceeding law requirement.JPG



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



Photo of the inside of the main production hall assembling and packing workshop.JPG



Photo of the inside of the main production hall attendance machine.JPG



Photo of the inside of the main production hall cargo lift.JPG



Photo of the inside of the main production hall electricity box.JPG



Photo of the inside of the main production hall factory name.JPG



Photo of the inside of the main production hall finished products warehouse.JPG



Photo of the inside of the main production hall parts warehouse.JPG



Photo of the inside of the main production hall raw material warehouse.JPG



Photo of the inside of the main production hall stair case.JPG



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



Photo of the inside of the main production hall testing workshop.JPG



Photo of the sanitary facilities drinking water.JPG



Photo of the sanitary facilities toilets.JPG