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Auditee :	<b>Goldentrees Technology Co., LTD.</b>
Audit Date From :	<b>24/01/2019</b>
Audit Date To :	<b>24/01/2019</b>
Expiry Date of the Audit :	<b>Please refer to the producer profile in the amfori BSCI platform</b>
Auditing Company :	<b>BureauVeritas</b>
Auditor's Name(s) :	<b>Twinkle Tan(Lead)</b>
Auditing Branch (if applicable) :	

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

**Main Auditee Information**

Name of producer :	Goldentrees Technology Co., LTD.		
DBID number :	386640		
Audit ID :	143429		
Address :	No.3, Nan Tong Blvd, Bao Long Industrial Area, Long Gang District Shenzhen		
Province :	Guangdong	Country :	China
Management Representative :	Sarah Yu		
Contact person:	Sarah Yu	Sector :	Non-Food
Industry Type :	Others	Product group :	Others
Product Type :	Silicone night light		

**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 :	24/01/2020

**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
C	C	A	A	C	D	B	A	A	A	A	B	A

**Executive summary of audit report**

At the beginning of the audit, Sarah Yu/ Sales Manager, Ms. Ouyang Junhui/Administration Supervisor, Mr. Yang Huoren/ worker Representative attended the opening meeting.

The factory was established on September 18, 2007 and specialized in the manufacture of Silicone night light, plastic cellphone, silicone water bottle. Business license number was 914403006670732833. Factory name in English was GOLDENTREES TECHNOLOGY CO., LTD. Factory local name was "深圳市金树林科技有限公司". The factory address in English was No.3, Nan Tong Blvd , Bao Long Industrial Area, LongGang District , Shenzhen, Guangdong, China. Factory local address was "深圳市龙岗区宝龙街道同乐社区宝龙工业区南同大道3号1#-2#厂房". The factory consisted of the 1st and the 2nd floor of one 4-storey production building(2#) and the 1st, 4th, 5th floor of one 5-storey dormitory building(canteen was located on the 1st floor). Total construction area was approximately 3650 square meters. The 2nd and the 3rd floor of one 5-storey dormitory building and the one 4-storey production building (1#) were rented by "BETTER CARRY ELECTRICS SHENZHEN CO., LTD." The 4th floor of one 4-storey production building (1#) was rented by "Shenzhen zhonda Jiguang Daomo Co., Ltd." And the 3rd floor was kept empty. All above factories with different business license numbers and different corporate representative and the lease contract was also provided for review.

The main production processes in the factory included molding, injection, finishing, assembly, inspecting and packing. There were a total of 50 employees with 36 production workers and 14 non-production staffs in the factory. The youngest employee noted during this audit was 19 years old. According to factory management representation, peak season in the factory was not obvious.

The facility used finger printing system to record employees' working hours. There were two shifts for finishing workshops, the 1st shift: 8:00-12:00, 13:30-17:30, 18:00-20:00 and the 2nd shift: 20:00-24:00, 1:30-4:30, 5:00-8:00, 2hours for overtime worked. There was only shift for rest production workshops and the regularly working hour was: 8:00-12:00, 13:30-17:30. The normal working hours in the facility was 8 hours per day from Monday to Friday.

All workers were paid by hourly rate. Wages of this month would be paid by cash before 7th of the following month. Pay stubs were issued to employees and the employees signed on the payroll records as confirmation.

During the audit, 21 employees' time records and payrolls were sampled as follows for working hour and wage testing: 7 samples selected from December 2018 as current paid month, 7 samples selected from September 2018, 7 samples selected from July 2018. It was noted that sampled employees in July 2018 were paid at least RMB 12.24 per hour and sampled employees in December 2018 and September 2018 were paid at least RMB 12.64 per hour, which was in compliance with the local minimum wage of RMB12.64 per hour or RMB2200 per month since Aug 1, 2018 or RMB12.24 per hour or RMB2130 per month before Aug 1, 2018. All sampled employees were paid 150% and 200% of their normal wages for working overtime on weekdays and rest days in accordance with legal requirement. No overtime worked was found on statutory holidays. Per provided time records, the maximum overtime hours were 2 hours a weekday and 92 hours per month. The longest consecutive work period was 6 days.

According to the social insurance payment receipt provided by factory management, it was noted that only 16 out of 50 employees were provided with pension insurance, 37 out of 50 employees were provided with medical, maternity, unemployment and accident insurance in December 2018. The Factory has provided commercial accident insurance with a valid period from November 10, 2018 to November 9, 2019 for 42 employees.

Further, 7 employees were selected for private interviews from different workshops. No negative comment was issued during employee interviews. Interviewed employees were satisfied with the working environment, compensation, working hour and management team in the factory.

During the closing meeting, auditor provided the factory representatives with a general overview and explained all of the findings to them. Sarah Yu/ Sales Manager, Mr. Yang Huoren/ worker Representative signed the onsite CAP and agreed to take corrective action.

**Auditor note:**

There was no contractor/agencies/government waivers/collective bargaining used or available by the auditee, which made the contractor license/agency labour contract/government waivers/collective bargaining agreements not applicable.

The factory did not obtain structural licenses, finding has been raised.

**Ratings Summary**


Auditee's background information			
Auditee's name :	Goldentrees Technology Co., LTD.	Legal status :	Limited company
Local Name :	深圳市金树林科技有限公司(统一社会信用代码:914403006670732833)	Year in which the auditee was founded :	2007
Address :	No.3, Nan Tong Blvd, Bao Long Industrial Area, Long Gang District	Contact person (please select) :	Sarah Yu
Province :	Guangdong	Contact's Email :	sarahyu@jinlf.com
City :	Shenzhen	Auditee's official language(s) for written communications :	Chinese
Region :	North East Asia	Other relevant languages for the auditee :	Not applicable
Country :	China	Website of auditee (if applicable) :	www.goldentreestechology.com
GPS coordinates :	N22°42'15? E114°18'30?	Total turnover (in Euros) :	3500000.00
Sector :	Non-Food	Of which exports % :	90.00
Industry :	Others	Of which domestic market % :	10.00
If other, please specify :		Production volume :	1000000 pieces per month
Product Group :	Others	Production cost calculation :	No
If other, please specify :		Lost time injury calculation cost :	No
Product Type :	Silicone night light		

Auditee's employment structure at the time of the audit		
Total number of workers :	50	Total number of workers in the production unit to be monitored (if applicable) : 0
	MALE WORKERS	FEMALE WORKERS
Permanent workers	27	23
Temporary workers	0	0
In management positions	3	2
Apprentices	0	0
On probation	0	0
With disabilities	0	0
Migrants (national citizens)	10	16
Migrants (foreign citizens)	0	0
Workers on the permanent payroll	27	23
Production based workers	0	0
With shifts at night	10	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 - 143429] Audit Date: 24/01/2019 PA Score: C

Deadline date:24/07/2019

#### GOOD PRACTICES:

None

#### AREAS OF IMPROVEMENT:

The main auditee partially respects this principle because: The auditee had established a management manual and procedures according to the BSCI Code of Conduct. The executives and management staffs were aware of the legal rights and duties under labor legislation. Coherent relevant documents with the statements were provided for review. The latest training against BSCI Code and Terms of Implementation were held in 2018 in the factory. The BSCI Code of Conduct was posted at the place available by all employees. A senior management who has sufficient skills was appointed for the responsibilities of implementing BSCI in the business culture, following up with the grievance mechanism, HR and ensuring that workers receive training relevant to the BSCI requirement and OHS issues. However, gap was still noted in the aspects of capacity management.

被审核方部分尊重BSCI的本条原则,原因是:被审核方已经根据BSCI行为守则要求建立了管理手册和程序文件。管理层员工了解劳工权益和劳动法要求。工厂提供了描述一致的相关文件参考。最近一次是在2018年举行BSCI生产商实施条款培训。工厂在员工可见处张贴BSCI行为守则。工厂指定有适当能力高级管理人员,负责BSCI的实施,跟进投诉申诉机制,人事资源管理,确保员工接受BSCI行为准则培训;职业健康安全事项。但是,产能规划方面依然存在差距。

- 1.4 -** The factory did not recruit enough employees or organize its workforce capacity to meet the expectations of the delivery order and/or contracts, so that employees' overtime hours exceeded legal limit. BSCI Code of Conduct: The auditee should organize its workforce capacity to meet the expectations of the delivery order and/or contracts. Employees could refuse to work for overtime freely, without penalty. Employees were compensated with overtime wage in accordance with legal requirement. Factory management represented that they would take corrective action as soon as possible.

审核发现工厂没有足够的员工或者进行良好的生产组织来达到交付订单和/或合同预期,以至于员工月加班超出法律规定。BSCI行为守则:被审核方(生产商)组织其劳工来达到交付订单和/或合同预期和要求。员工可以自由地拒绝加班工作,没有被处罚。工厂按照法规要求支付了加班费。工厂表示会尽快做出整改。

#### Remarks from Auditee:

None

### Performance Area 2 : Workers Involvement and Protection

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: C

Deadline date:24/04/2019

#### GOOD PRACTICES:

None

#### AREAS OF IMPROVEMENT:

The main auditee partially respects this principle because: The auditee had updated worker complaint management procedure and worker representative election procedure in 2017, and worker representatives were selected by the workers in 2017, communication meeting between management and worker representatives meeting was conducted regularly. According to interview with worker representative and workers, they were familiar with workplace-related issues, their labor right e.g. the law, work contracts, job description, working rules, the factory also provided on-board training on workers' right to workers. It had been noted that the auditee had an effective grievance mechanism: the mechanism consisted of using suggestion boxes, worker representatives and an open door policy on coming up with suggestion directly to workers' supervisor. It was confirmed through review the documentation and interview with workers. However, minor gap was identified in implementation.

被审核方部分尊重BSCI的本条原则,原因是:工厂已建立了员工投诉管理程序和员工代表选举程序,工人在2017年选举了员工代表,管理层和员工代表定期举行沟通会议,根据工会代表及员工的访谈信息,员工代表以及员工都很清楚工厂场所相关信息,以及员工的劳工权利,例如劳动法,劳动合同,工作描述以及厂纪厂规等。同时工厂会为员工提供关于员工权利的入职培训。审核过程发现,工厂已建立了申诉系统,员工可通过意见箱,员工代表或直接和主管进行沟通等方式提供投诉。所有这些过程均通过文件以及访谈来核实。但工厂在BSCI体系执行上仍存在较小差距。

- 2.2 -** It was noted that the factory did not define long-term goals to protect workers according to BSCI COC. BSCI Code of Conduct: The auditee defines long-term goals to protect workers according to the BSCI Code of Conduct. According to management interview, they were not familiar with this requirement of BSCI. Factory management represented that they would take corrective action as soon as possible.

审核发现工厂没有按照BSCI要求设立长期目标按照BSCI的要求保护员工。BSCI行为守则:被审核方(生产商)按照BSCI行为守则明确长期目标以保护工人。根据管理层访谈,工厂对BSCI此项要求不熟悉。工厂表示会尽快做出整改。

- 2.5 -** It was noted that the factory had established or participated in an effective grievance mechanism for individuals, the grievance mechanism allowed worker to lodge suggestions or complaints related to the workers' rights, and individuals had alternative ways for lodging a complaint, such as through suggestion box, worker representative or directly to the management. However, the factory had not set up a channel for local communities' coming up with its suggestions or complaints to management for improvement. BSCI Code of Conduct: The auditee establishes or participates in an effective grievance mechanism for individuals and communities. Factory management represented that they would take corrective action as soon as possible.

审核员发现工厂建立和参与了有效的个人申诉机制,申诉机制赋予了工人提出建议,投诉的权利,并且开放了可替代的投诉方式,例如通过意见箱,工人代表或直接向管理层投诉。但是,工厂尚未创建给当地社区提供申诉的渠道。BSCI行为守则:被审核方(生产商)建立或参与了有效的个人和团体申诉机制。工厂表示会尽快做出整改。

#### Remarks from Auditee:

None



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

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: A

Deadline date:

**GOOD PRACTICES:**

None

**AREAS OF IMPROVEMENT:**

The main auditee fully respects this principle because: Written policy on freedom of association and collective bargaining was established, and communicated to all workers by training. The worker representatives were selected by workers. The interviewed workers confirmed that the auditee respected their right to freely elect their representatives. Right of association or collective bargaining was not restricted.

被审核方完全尊重BSCI的本条原则, 原因是: 被审核方建立了自由结社及集体谈判的书面政策, 通过培训的方式传达给了所有员工。被访谈的员工确认工厂尊重员工自由选举了员工代表的权利。自由结社和集体谈判的权利未受到限制。

**Remarks from Auditee:****Performance Area 4 : No Discrimination**

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: A

Deadline date:

**GOOD PRACTICES:**

None

**AREAS OF IMPROVEMENT:**

The main auditee fully respects this principle because: No discrimination was noted in the factory, the auditee had established Non-discrimination policy and procedure. During worker interviews, it was found that there was no unequal, abuse, unusual disciplinary practices, and there were no preference on the religion, origin, political affiliation or age, gender or social background.

被审核方完全尊重BSCI的本条原则, 原因是: 工厂未发现歧视, 被审核方已建立了禁止歧视政策和管理程序。访谈中员工反映在被审核方工厂里, 没有不平等, 虐待, 不寻常的纪律处分, 且没有对宗教, 出身, 政治派别或年龄, 性别或社会背景有偏见。

**Remarks from Auditee:**



## Performance Area 5 : Fair Remuneration

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: C

Deadline date:24/07/2019

### GOOD PRACTICES:

None

### AREAS OF IMPROVEMENT:

The overall observation showed that the factory partially respected the requirement of this performance area. Per document review, management interview and employees' private interview, it was noted that the local legal minimum wage standard was RMB12.64 per hour since Aug 1, 2018 or RMB12.24 per hour before Aug 1, 2018. All the sampled employees were paid met minimum wage standard. Wages were paid by cash at 7th of the following month according to legal requirement; employees would make a signature in the wage records which was also cross verified during worker's interview. No illegal or unreasonable deduction had been identified through document review or reported by the interviewed workers. However, gaps were identified in implementation.

整体观察表明,受审核方部分满足这个PA的要求。通过文件查阅、管理层访谈和员工访谈,审核发现当地法定最低工资标准是在2018年8月1日之后是12.64元/时,2018年8月1日之前是12.24元/时。所有抽样员工工资都满足了该标准。每月工资在下个7号以现金的方式发放。员工有在工资表上签字(在员工访谈中对上述事实进行了交叉验证)。通过员工访谈及记录查询没有发现任何形式的不合理扣款。然而在实际执行中仍存在一些差距。

- 5.4 -** Through document review, management, workers representative & employees' interview, it was noted that the factory management did not know how to calculate the local living wage. BSCI Code of Conduct: The auditee provides sufficient remuneration that allows workers to meet a decent living standard. Factory management represented that they would take corrective action as soon as possible.

审核员发现工厂管理层不知道如何评估当地的最低生活需求工资。BSCI行为守则:被审核方(生产商)提供让工人达到体面生活标准的足够报酬。工厂表示会尽快做出整改。

- 5.5 -** According to the social insurance payment receipt provided by factory management, it was noted that only 16 out of 50 employees were provided with pension insurance, 37 out of 50 employees were provided with medical, maternity, unemployment and accident insurance in December 2018. In accordance with Article 73 of the Labor Law of the People's Republic of China 74% of workers covered by medical, maternity, unemployment and accident insurance and 32% of workers covered by pension insurance. The Factory has provided commercial accident insurance with a valid period from November 10, 2018 to November 9, 2019 for 42 employees. Local government department did not mandatorily require factory provided all five types of social insurance to all employees. The factory did not obtain any insurance waiver. Besides, no evidence proof that the insufficient coverage of social insurance was caused by the employees' unwillingness to participate in the program. And no record showed that the factory would intend to provide coverage to the workers. Remark: According to the social insurance payment receipt provided by factory management, it was noted that 40 out of 70 personnel were provided with pension insurance, all 70 personnel were provided with medical, maternity, unemployment and accident insurance in December 2018. However, only 16 out of them directly hired by the factory were provided with pension insurance, 37 out of them directly hired by the factory were hired by the factory provided with medical, maternity, unemployment and accident insurance in December 2018. Factory management represented that they would take corrective action as soon as possible.

审核员发现工厂的社会保险覆盖不足。根据厂方提供的2018年12月社会保险缴费单据显示工厂16/50名员工购买了养老保险, 37/50名员工购买了医疗, 生育, 失业和工伤保险。根据《中华人民共和国劳动法》第73条 74%员工购买了医疗, 生育, 失业和工伤保险, 32%员工购买了养老保险。工厂为42名员工购买了有效期从2018年11月10日至2019年11月9日的团体意外保险。当地政府部门没有强制要求工厂为所有员工购买所有五种保险。工厂没有获得任何社保证明。没有记录显示员工不愿意购买社保。且没有记录显示, 工厂将提高社保的参保。备注:工厂2018年12月社会保险缴费单据上显示 40/70人购买了养老保险, 70/70人购买了医疗, 生育, 失业和工伤保险。其中属于工厂的仅有16名员工购买了养老保险, 37名员工购买了医疗, 生育, 失业和工伤保险。工厂表示会尽快做出整改。

### Remarks from Auditee:

None

## Performance Area 6 : Decent Working Hours

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: D

Deadline date:24/07/2019

### **GOOD PRACTICES:**

None

### **AREAS OF IMPROVEMENT:**

The main auditee partially respects this principle because: The factory made a policy of working hour system and controlled working hours. According to the policy and implementation records, workers worked 8 hours per day, 5 days per week. The factory arranged workers working on normal day extension and Saturdays, workers had right to choose working overtime or not. The factory ensured workers had one day off per seven days. All this processes and implementation can be verified by interview and document review. Factory admitted that they were unable to control the overtime hours within local law limit, but they granted workers the right to resting breaks in every working day, and meanwhile they had clearly communicated working hour policy to all employees through employee handbook. Interviewed employees confirmed that they could choose to OT or not.

被审核方部分尊重BSCI的本条原则, 原因是: 工厂制定了工时政策, 依照政策以及工厂实际的执行情况, 员工每天上班8小时, 每周5天。工厂会安排工人在晚上和周六加班, 员工可自愿选择是否加班。工厂保证了员工每7天有1天休息。以上均已从员工访谈以及文件信息等方面进行核实。工厂承认目前无法完全做到加班时间控制在法律规定范围内, 但是, 赋予工人在工作日休息的权利, 同时, 通过员工手册向员工传达了工厂关于工作时间的政策。面谈的员工证实加班是自愿的。

**6.2 -** It was noted that 18 out of 21 sample population employees worked in excess of the statutory overtime hour limits. A review of 21 sample population employees' time records (7 samples selected from December 2018 as current paid month, 7 samples selected from September 2018, 7 samples selected from July 2018), yielded the following: a) 6 (selected from various departments) out of 7 sample population employees' monthly overtime in December 2018 reached 40-92 hours, b) 7 (selected from various departments) out of 7 sample population employees' monthly overtime in September 2018 reached 40 to 88 hours, c) 5 (selected from various departments) out of 7 sample population employees' monthly overtime in July 2018 reached 68 to 84 hours, which exceeded the legal limit of 36 hours per month. In accordance with Article 41 of the Labor Law of the PRC Employees could refuse to work for overtime freely, without penalty. Factory management represented that they would take corrective action as soon as possible.

根据厂方提供的工时记录, 审核员发现员工加班时间超出了法定标准。审核员从厂方提供的工资记录中抽取21个样本(其中最近月2018年12月抽取7个, 从2018年9月抽7个, 从2018年7月抽7个), 发现共有18名员工加班时间超出了法定标准, 具体为:a) 6/7名抽样员工在2018年12月的加班时间为40-92小时, b) 7/7名抽样员工在2018年9月的加班时间为40-88小时, c) 5/7名抽样员工在2018年7月的加班时间为68-84小时。根据《中华人民共和国劳动法》第41条。员工可以自由地拒绝加班工作, 没有被处罚。工厂表示会尽快做出整改。

### **Remarks from Auditee:**

None

## Performance Area 7 : Occupational Health and Safety

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: B

Deadline date:24/06/2019

### GOOD PRACTICES:

None

### AREAS OF IMPROVEMENT:

The overall observation showed that the factory partially respected the requirement of this performance area. Per factory tour, document review, management interview and employees' private interview, it was noted that the auditee basically complied with occupational health and safety (OHS) regulations. The auditee established fire safety policy, the emergency evacuation plan, and also regularly carried out risk assessment for safe, healthy and hygienic working condition and regularly conducted fire drills for employees. Further, the auditee provided safety training to employees. Per factory tour, it was noted that two emergency exits were available in the factory leading to the stairwell, all evacuation exits and passages were kept free of blocked. All safety exits were installed with safety exits sign and emergency light according by law. However, gaps were identified in implementation.

整体观察表明, 受审核方部分满足这个PA的要求。通过现场走访、文件查阅、管理层访谈和员工访谈, 审核发现被审核方基本遵守了适合其业务活动的职业健康与安全法规。被审核方建立了消防程序文件, 应急预案等, 并定期执行了有关安全、健康和卫生工作条件的风险评估, 定期组织员工进行消防演习, 对员工进行安全培训等。现场走访发现, 工厂有2个紧急出口通往疏散楼梯, 所有的疏散出口, 走道均保持通畅, 所有的出口均按要求安装了出口标志以及应急灯等。但是, 在实际执行中存在差距。

**7.5 -** It was noted that the factory did not provide occupational health checks to 4 out of 6 employees working in the workshop who worked in contact with noise. In accordance with Article 35 Law of the People's Republic of China on the Prevention and Treatment of Occupational Diseases. Factory management represented that they would take corrective action as soon as possible.

审核员发现工厂没有为车间大概4/6名接触噪声的员工提供职业病体检。根据《中华人民共和国职业病防治法》第35条 工厂表示会尽快做出整改。

**7.7 -** It was noted that 3 out of 3 cooling liquid containers being used in the molding workshop on the 1st floor of production building were only posted with a content label but not safety label. In accordance with Article 14 of the Regulation For Chemical Usage Safety in Work Place: Without label, thus, employees could not obtain some useful information in case of emergency. Risk of health and safety was existing. Factory management represented that they would take corrective action as soon as possible.

审核员发现工厂1楼模车间3/3个正在使用的盛装冷却液的容器仅张贴内容标签而非安全标签。根据《工作场所安全使用化学品规定》第14条: 化学品没有标签, 在紧急情况下员工不能获得有效的信息, 从而存在健康安全风险。工厂代表反映立即改善。

**7.11 -** 1) It was noted that factory management was unable to provide the report of inspection for completed building construction project for review. The completed date for building was December 1998. In accordance with Article 61 of Construction Law of the People's Republic of China, Per onsite observation, no crack was found in the buildings. Besides, the factory has provided the Real Estate Certificate for review. Factory management indicated that the building was rented and the landlord was not provided it. 2) It was noted that the factory was unable to provide the special equipment operator certificate for 1 pressure vessel for review. This violates Article 38 of Safety Monitoring Regulation of Special Equipment. The pressure vessel in the factory was sampled type pressure vessel. Factory management stated that they would take improvements later.

1) 厂方未能向审核员提供工厂楼房的建筑工程竣工验收报告。该工厂建筑于1998年12月竣工。根据《中华人民共和国建筑法》第61条: 现场查看, 没有发现裂缝。工厂提供了工厂楼房的房产证供查阅。工厂表示会厂房是租的, 房东没有提供。2) 本次审核工厂未能提供1台压力容器的压力容器操作工证供审核。违反《特种设备安全监察条例》第38条。工厂的压力容器属于简单压力容器。工厂反映会在今后改善。

**7.13 -** It was noted that no warning sign was posted on 8 out of 30 sampled electricity switch boxes in the workshops and dormitory of factory. In accordance with Article 2-7 of Warning Sign in the Guidelines for Safety Signs and Usage GB 2894-2008. It may have electric shock risk due to lack of warning sign on the electricity switch boxes and electricity boxes. Factory management represented that they would take corrective action as soon as possible.

抽查发现生产车间以及宿舍8/30个电箱开关没有张贴警示标识。根据《安全标志及使用导则(GB 2894-2008)》警示标志2-7 缺失警示标志不能有效提醒员工有触电的风险。工厂表示会尽快做出整改。

**7.17 -** It was noted that 1 out of 1 sewing machine being used in the workshop on the 2nd floor of production building was not installed with needle guards and the transmission belts of this sewing machine was not equipped with pulley guard. In accordance with Article 6.1.6 of Code of Design of Manufacturing Equipment Safety and Hygiene Factory management represented that they would take corrective action as soon as possible.

审核员发现生产楼2楼车间1/1台针车没有安装针挡且外露的传动皮带没有安装皮带保护罩。根据《生产设备安全卫生设计总则(GB5083-1999)》第6.1.6条 工厂表示会尽快做出整改。

**7.23 -** No transportation was provided.

### Remarks from Auditee:

None

## Performance Area 8 : No Child Labour

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: A

Deadline date:

### GOOD PRACTICES:

None

### AREAS OF IMPROVEMENT:

The main auditee fully respects this principle because: The factory established its child labor forbidden policy. It was noted that the HR related officer had to check the ID and age during the hiring process. Through management interview, worker representative interview and employee interview, all knew the child labor forbidden policy and confirmed no child labor in the factory. The youngest employee hired by the factory directly noted during this audit was 19 years old currently.

被审核方完全尊重BSCI的本条原则, 原因是: 工厂建立了禁止童工政策。负责招聘的相关HR人员知道他们必须严格核实新近员工的年龄。员工面谈, 员工代表面谈和管理层面谈都证实清楚的知晓禁止童工政策并且确定工厂没有童工。目前工厂直接员工的最小年龄为19岁。

### Remarks from Auditee:

Performance Area 9 : Special protection for young workers	
Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b> None	
<b>AREAS OF IMPROVEMENT:</b> <p>The main auditee fully respects this principle because: The factory had established related policies to ensure young workers' working time and not to contact with hazardous materials. No young worker directly hired was found in the factory. The youngest employee hired by the factory directly noted during this audit was 19 years old currently.</p> <p>被审核方完全尊重BSCI的本条原则, 原因是: 工厂建立了完整的未成年工保护政策, 包括工作时间和禁止未成年工接触有毒化学品等等。工厂直接招聘的没有未成年工。目前工厂直接员工的最小年龄为19岁。</p>	
<b>Remarks from Auditee:</b>	
Performance Area 10 : No Precarious Employment	
Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b> None	
<b>AREAS OF IMPROVEMENT:</b> <p>The main auditee fully respects this principle because: The factory had established clear recruit policies to respect local law requirements. Confirmed through employee and employee representative interview, they need to sign standard labor contracts with factory and they kept one labor contract.</p> <p>被审核方完全尊重BSCI的本条原则, 原因是: 工厂建立了清楚地招聘程序来遵守当地的法规要求。通过员工和员工代表面谈, 确认所有员工进厂时必须签标准的劳动合同, 并且他们自己都留有一份合同。</p>	
<b>Remarks from Auditee:</b>	
Performance Area 11 : No Bonded Labour	
Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b> None	
<b>AREAS OF IMPROVEMENT:</b> <p>The main auditee fully respects this principle because: Based on site tour, document review and interview, the auditee didn't limit the employees' freedom including resignation or ask for leave from the factory. The inhumane or degrading treatment, corporal punishment, mental or physical coercion and/or verbal abuse never occurred. There was no prison labour or forced labour. No ID card or wage was withheld by factory. It was observed that workers were working without pressure. Disciplinary measures were all reasonable: Verbal warning, warning letter and termination.</p> <p>被审核方完全尊重BSCI的本条原则, 原因是: 基于现场走访, 文件评估和访谈, 被审核方没有限制员工的自由, 包括离职或请假。工人从未受到不人道或有辱人格的待遇、体罚、精神或肉体胁迫和/或辱骂。工厂里没有监狱劳工或强迫劳动。工厂没有扣留工人的身份证和工资。员工在工厂里没有压力。处罚措施是合理的, 处罚措施包括: 口头警告, 警告信和解雇。</p>	
<b>Remarks from Auditee:</b>	

## Performance Area 12 : Protection of the Environment

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: B

Deadline date:24/07/2019

### GOOD PRACTICES:

None

### AREAS OF IMPROVEMENT:

The main auditee partially respects this principle because: Most Environmental impact assessment document was provided for review. During plant tour, it was found waste was not dumped in natural environments, or burned on open fires. No obvious pollution found in this factory. The factory did not receive any fines from local environment bureau ever since. The factory established related environmental policies, collected and updated environmental laws periodically to respect local law requirements. However, minor gap was identified in implementation (i.e. the factory management was unable to provide the approval document for on-site inspection and acceptance of completed environmental protection facilities for review).

被审核方部分尊重BSCI的本条原则, 原因是: 工厂提供了大部分环境影响评价文件供查阅。现场参观未发现废弃物直接倾倒入自然环境中或者明火燃烧。现场未发现明显污染现象。工厂从来没有收到过当地环保部门的处罚。工厂建立了相关的环境方针政策, 并且定期收集更新环境法规来保证遵守当地的法律要求。但是在BSCI体系执行上仍有较小差距 (i.e. 环保竣工验收文件没有提供)。

- 12.3 -** It was noted that factory management was unable to provide the inspection and acceptance report of completed environmental protection facilities for review. This violates In accordance with Article 17 of the Regulations on Environmental Protection Check and Acceptance for Completed Construction Project. Factory did not obtain the law required environmental documents before their operation. Factory management represented they would take action later.

本次审核工厂未能提供建设项目竣工环境保护验收文件。根据《建设项目竣工环境保护验收管理办法》第17条, 工厂未有按照法律要求取得相关环保文件。工厂反映会采取行动改善。

### Remarks from Auditee:

None

## Performance Area 13 : Ethical Business Behaviour

Full Audit [Audit Id - 143429] Audit Date: 24/01/2019 PA Score: A

Deadline date:24/04/2019

### GOOD PRACTICES:

None

### AREAS OF IMPROVEMENT:

The main auditee partially respects this principle because: The auditee had developed policy and procedure against any act of corruption, extortion or bribery in their business. However, minor gap was noted (i.e. training about personal information of directly hired workers with reasonable care for employees was not provided).

被审核方部分尊重BSCI的本条原则, 原因是: 被审核方建立方针政策反对任何形式的商业贿赂, 勒索和腐败。但是, 仍存在较小差距 (i.e. 个人隐私信息保密政策的培训没有提供给员工)。

- 13.4 -** Through document review, management, workers representative, it was noted that factory has established procedure to collect and use personal information of directly hired workers with reasonable care. However, the related training for employees was not provided. Please refer to BSCI PA13.4. The facility management represented that they would take corrective action as soon as possible.

工厂有建立保护个人隐私的程序但是没有给相关人员提供培训。请参看BSCI PA13.4条 工厂管理层表示会尽快改善。

### Remarks from Auditee:

None

**Summary**

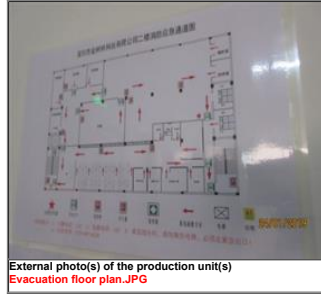
Audit Type	Date	Audit Id	PA1	PA2	PA3	PA4	PA5	PA6	PA7	PA8	PA9	PA10	PA11	PA12	PA13	Overall Rating
Full Audit	24/01/2019	143429	C	C	A	A	C	D	B	A	A	A	A	B	A	C



**Producer Photos**



External photo(s) of the production unit(s)  
7.13 No warning sign.JPG



External photo(s) of the production unit(s)  
Evacuation floor plan.JPG



External photo(s) of the production unit(s)  
First aid kit.JPG



External photo(s) of the production unit(s)  
7.17 No needle guard.JPG



External photo(s) of the production unit(s)  
Exit sign and emergency light.JPG



External photo(s) of the production unit(s)  
Injection.JPG



External photo(s) of the production unit(s)  
7.17 No pulley guard.JPG



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



External photo(s) of the production unit(s)  
Inspection.JPG



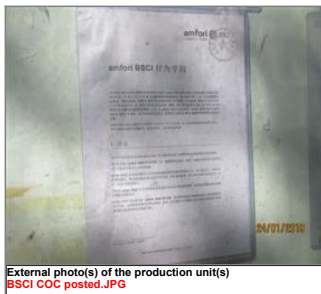
External photo(s) of the production unit(s)  
7.7 No safety label.JPG



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



External photo(s) of the production unit(s)  
molding.JPG



External photo(s) of the production unit(s)  
BSCI COC posted.JPG



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



External photo(s) of the production unit(s)  
Packing.JPG



