
Auditee :	Huizhou Wisva Optoelectronics Co., Ltd.
Audit Date From :	23/09/2019
Audit Date To :	23/09/2019
Expiry Date of the Audit :	Please refer to the producer profile in the amfori BSCI platform
Auditing Company :	TUEV Rheinland
Auditor's Name(s) :	Sam Li(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 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 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 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 style="text-align: center;">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 style="text-align: center;">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 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 :	Huizhou Wisva Optoelectronics Co., Ltd.		
DBID number :	384102		
Audit ID :	163187		
Address :	Building 6, Zhonghai Science Park (Huizhou), Dayawan West District, Huizhou		
Province :	Guangdong	Country :	China
Management Representative :	Tongtong Wang		
Contact person:	Tongtong Wang	Sector :	Non-Food
Industry Type :	Mechanical and electrical engineering	Product group :	Electrical supplies
Product Type :	LED Strip Light		

Audit Details



Audit Range :	<input type="checkbox"/> Full Audit	<input checked="" 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 : 23/09/2020	

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	A	D	A	A	A	A	A	A	A

Executive summary of audit report

Huizhou Wisva Optoelectronics Co., Ltd. (惠州市慧昊光电有限公司) was located at Building 6, Zhonghai Science Park (Huizhou), Dayawan West District, Huizhou (惠州大亚湾西区(中海科技(惠州)有限公司6号厂房)).

The auditee rented the 4F and 5F of one 5-storey building (No.6) from the landlord. The total production size occupied by the auditee was about 7300 square meters. The rest floors of No.6 building was used by another two companies, which produced different products than auditee. As per onsite tour, worker and management interview, there was no business relation or shared worker identified during the audit. Thus, the current audit scope only covered the 4F and 5F of auditee. The auditee did not provide canteen, dormitory or transportation to workers.

The main product was LED Strip Light. Main production processes were SMT, assembly, inspection and packaging. As per management interview and document review, no obvious peak season was presented in the auditee. All workers were hired by the auditee directly.

Private interview was conducted in the facility with 10 workers selected from different departments. The time records were cross-checked against with production records and no inconsistency regarding working hours was found. All interviewed employees had positive attitudes toward the factory management.

The management was cooperative throughout the whole audit, all the area could be accessed and taking photos was allowed. Opening and closing meeting were held with the factory representatives and worker representatives. All of the findings were discussed in the closing meeting. Finally, Mr. Tongtong Wang/ HR and Admin Supervisor signed the onsite CAP and agreed to take corrective actions.

Remark:

1. Name of the auditor: Sam Li, APSCA registration number: 21702578.
2. No Comprehensive Working Hour System waiver or social insurance waiver obtained by factory.
3. This was follow up audit and it did not cover PA3/PA4/PA8/PA9/PA11. The worker representatives were freely elected by workers. Workers could raise any complaints through worker representatives, suggestion box, etc. No illegal employment was detected in factory. No inconsistency information or unethical behaviour was detected.
4. No contractor, agency labor and security guards used by factory. There were CCTV monitored in factory to ensure the security. The management explained they would lock the door after the work off.

Ratings Summary



Auditee's background information			
Auditee's name :	Huizhou Wisva Optoelectronics Co., Ltd.	Legal status :	Limited Company
Local Name :	惠州市慧昊光电有限公司(统一社会信用代码:91441300MA5112HE0L)	Year in which the auditee was founded :	2017
Address :	Building 6, Zhonghai Science Park (Huizhou), Dayawan West District,	Contact person (please select) :	Tongtong Wang
Province :	Guangdong	Contact's Email :	cindy-wisval@foxmail.com
City :	Huizhou	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) :	www.wisvaled.com
GPS coordinates :	N22°43'52.10", E114°28'11.76"	Total turnover (in Euros) :	5000000.00
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 :	6,000,000 meter per year
Product Group :	Electrical supplies	Production cost calculation :	Yes
If other, please specify :		Lost time injury calculation cost :	Yes
Product Type :	LED Strip Light		

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	49	46	
Temporary workers	0	0	
In management positions	5	3	
Apprentices	0	0	
On probation	0	0	
With disabilities	0	0	
Migrants (national citizens)	47	43	
Migrants (foreign citizens)	0	0	
Workers on the permanent payroll	49	46	
Production based workers	0	0	
With shifts at night	13	1	
Unionised	0	0	
Pregnant	-	0	
On maternity leave	-	0	

Finding Report



Performance Area 1 : Social Management System and Cascade Effect

1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: D

Deadline date:22/09/2020

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The factory had established the Social responsibility policies and procedures, which covering the labor, EHS and business ethics etc. Mr. Tongtong Wang/ HR and Admin Supervisor was appointed as amfori BSCI management representative and took whole charge of amfori BSCI affairs in the factory. The factory also established the management procedure for suppliers. The factory also regularly monitored CSR performance of important suppliers such as wire raw material, packing material suppliers, etc. (including assessing social performance of suppliers, passing amfori BSCI CoC and ToI for business partners to suppliers). However, gaps were still noted in implementation. 工厂建立了社会责任政策和程序, 涵盖了劳工、环境健康安全、商业道德等等。人事行政主管王同通先生被任命为amfori BSCI管理者代表, 统筹整个工厂的amfori BSCI事务。工厂也建立了供应商的管理程序。工厂也会对一些重要供应商如电线原材料, 包装材料等供应商的社会绩效进行定期监管, 其中包含评估供应商的社会责任表现, 传达amfori BSCI行为准则和商业伙伴专用实施条款给供应商等。但是, 在实施过程中仍存在差距。

- 1.1 - Social compliance policy, such as controlling working hours, benefits, EHS and management system had established in the factory. Internal audit and management review were conducted once per year. However, some systems have not been effectively implemented. Such as they did not control monthly overtime according to the requirement of amfori BSCI Code of conduct and local law in daily work. Through workers' representative and workers interview, they did not know the overtime limits and how to do when overtime reached the upper limit. Through management interview, the operation on social responsibility was mainly based on experience and learning from peers, the factory did not set up an effective management system to implement amfori BSCI Code of Conduct. 社会责任政策, 加工时的管控, 福利, 健康安全和管理体系已建立。工厂每年进行一次内部审核和管理评审。但是, 部分体系并未有效执行。例如没有在日常工作中根据amfori BSCI行为守则和当地法律法规的要求去控制加班时间;通过员工代表和员工访谈, 他们不了解加班时间的上限及如果达到上限后如何处理。通过管理层访谈, 工厂社会责任的运作主要通过以往经验和向同行学习, 工厂没有建立有效的管理系统去执行amfori BSCI的行为准则。
- 1.4 - Based on document review and management interview, the facility established workforce planning and cost accounting procedure. However, it was not effectively implemented. As per the provided time records and worker interview, workers monthly overtime exceed 36 hours in reviewed months. For details, please refer to finding 6.2. The factory management expressed that they did not carry out the overtime control plan to reduce overtime hours gradually. 基于文件审核和管理层访谈, 工厂已经建立了产能规划和成本核算的程序。但是该程序并未有效的执行。根据提供的考勤记录和员工访谈, 员工在查看的月份加班都超过36小时, 详见6.2的发现。企业管理人员表示, 企业未执行加班控制计划以逐渐减少加班时间。

Remarks from Auditee:

Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: D

Deadline date:14/10/2019

Good practices

Areas of improvement

The auditee had set up management system and documentary procedures including but not limited to recruitment, remuneration, social benefit, labor contract and EHS. Also the auditee had a good understanding of amfori BSCI Code and Terms of Implementation, which were integrated into the daily business practices. Related laws and regulations were collected and updated regularly by an appointed management. Internal audit and management review were carried out at least once a year, and would take appropriate corrective actions to the non-compliance identified in time. The records of labor contract, attendance information, payrolls, meeting or training materials and complaint surveys were kept in a proper way. The auditee had assigned a senior management as amfori BSCI representative to in charge the implementation of the system and the Code, who had attended amfori BSCI training or seminar by third party. Moreover, different functions of management including grievance mechanism, human resources, training, occupational health and safety were appointed corresponding with the amfori BSCI values and principles. The evaluation towards business partners' social performance were conducted periodically. A management system of selecting current and future significant business partners were established. With this, the auditee had kept original records and accurate information of different business partners. The auditee had conveyed both amfori COC and TOI to the partners prior to the auditee. The copies of those documents were kept, no negative issue identified. The management have a good understanding of production rate per production unit, and workforce was planned. On the other hand, contingency plan was made in case of encountering production decrease. Workforce capability was discussed with HR management and worker representative. However, improvement was needed in PA 1.1 and PA 1.4.

被审核方建立了管理体系和文件程序包括并不限于招聘, 报酬, 社会福利, 劳动合同和健康安全等方面。同时被审核方了解amfori BSCI的行为准则和实施条款, 并与日常的商业活动相结合。定期收集和更新相关的法律法规。至少一年进行一次内审和管理评审, 针对发现的不符合项及时采取改善措施。合同, 考勤信息, 工资表, 会议或培训资料, 以及申诉调查都保存得当。被审核方指派了一名高级管理层作为amfori BSCI的管理者代表, 来管控体系和行为准则的实施, 该代表参加了外部的amfori BSCI培训和研讨会。此外, 任命了不同职能的管理层来实现amfori BSCI的价值和信念, 其中包括申诉机制, 人力资源, 培训, 职业健康和安全。定期进行了对商业合作伙伴的社会绩效评估。建立了针对选择当前和将来主要商业伙伴的管理体系。其中, 保存了商业伙伴的原始记录和准确信息。向商业伙伴传达了amfori BSCI的行为准则和实施条款。保留了签署文件的副本, 没有发现不良问题。管理层对于工人的生产率有良好的了解, 并规划了生产力。另一方面, 针对产能的下降制定了应急措施。与人力资源主管和员工代表就劳动力进行了探讨。然而在PA1.1和PA1.4仍需要改善。

- 1.1 - As per document review and onsite observation, it was noted that the auditee had set up procedures and policy according to amfori BSCI COC and implemented into production activity. However, the management system was not effective so that non-compliance was identified in the area of EHS, working hours and social benefit. According to management, the current operation of the auditee was based on the previous experience. The implementation of amfori BSCI COC was insufficient. During workers interview, they confirmed that the amfori BSCI COC training was provided for them but workers did not attend the risk assessment. The management representative expressed a strong willingness to improve the shortage during the audit. 通过文件审核和现场走访了解到, 被审核方依据amfori BSCI的行为守则来建立了相应的程序文件和政策文件, 并实施于日常的生产活动中。然而, 工厂的管理体系不够完善导致出现健康安全, 工作时间和社会福利方面的不符合项。和管理层了解到, 目前的运作是在以往经营的经验基础上进行的, 工厂对于amfori BSCI行为准则的执行度不够充分。员工访谈确认参与了工厂组织的amfori BSCI培训, 但他们没有参与风险评估。在审核过程中, 管理层代表表现出改善目前不足的强烈意愿。
- 1.4 - The facility had a good understanding of the production rate per production unit. Production capacity was made and planned, but failed to set up a good capacity planning in order to meet the expectations of the delivery order, which led to the systematic monthly overtime exceeded the legal requirement. Also, the facility did not discuss the workforce capacity with production management and the worker representatives to reasonably

arrange the production capacity. According to management representative, the attendance system did not have the function of marking with excessive overtime hours.
工厂对生产单位的生产量有比较清楚的理解。工厂有制定生产规划,但却没有建立良好的产能规划以满足订单的要求,导致出现系统性月加班超过法规要求的情况。且工厂没有与生产管理人员和员工代表就工厂的产能进行讨论以进行合理的生产计划。根据管理者代表,工厂的考勤系统没有对超时进行标记的功能。

Remarks from Auditee

Performance Area 2 : Workers Involvement and Protection

1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A

Deadline date:22/12/2019

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

2.2 - The factory did not set the social responsibility goals to protect workers in 2019 according to the amfori BSCI code of conduct. The social responsibility goals provided by the factory was March 2018. The management representative explained that he just appointed to implement the amfori BSCI not long, and he didn't know this requirement and will strengthen the leaning on this part in the near future.
工厂没有根据amfori BSCI行为守则去制定2019年度的社会责任目标。工厂提供的社会责任目标是2018年3月份的。管理人员解释,他刚接手amfori BSCI负责人一职不久,对这个要求还不了解,后面会加强这方面的学习。

Remarks from Auditee:

Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A

Deadline date:14/04/2019

Good practices

Areas of improvement

The auditee had established the policy on right of workers and worker representative. The auditee respected and did not restrict the election of worker representative. There were 2 worker representatives elected on 27 April 2018 by workers on a free and democratic way. The worker representative was not discriminated or suppressed by the management. Meetings or trainings between workers and worker representatives was held regularly which was under support of the factory. The facility had set up a long term goal to protect workers on fair remuneration, social benefit, EHS and working hours, etc. The latest version of amfori BSCI COC and Poster were posted in the production area which could be easily identified by workers. There was one suggestion box installed in the factory where workers could reflect their advice or complaint in a private way. However, improvement was needed in PA 2.2.

被审核方建立了员工权利和员工代表制度的政策文件。员工代表的选举被尊重且没有被限制。通过自由民主的方式在2018年4月27日产生了两名员工代表。员工代表没有收到管理层的歧视和压制。员工与员工代表之间的会议和培训会定期举行并得到工厂的支持。工厂建立了长期保护员工的目标,其中包括公平报酬,社会福利,健康安全和工作时间等。最新版的amfori BSCI行为准则和海报在工厂明显的位置张贴,员工可以容易看到。厂内安装了一个意见箱,以供员工在隐私得以保证下进行反应建议和申诉。然而,在PA2.2上仍需要改善。

2.2 - The auditee had set up long term goals including occupational health, social benefit and working hours on protecting workers and reviewed each year. Nevertheless, the goals were not implemented according to amfori BSCI COC, therefore some area such as machine safety, fair remuneration and freedom of association were not involved in. Moreover, the goals were not notified to workers through visible display or meeting.
被审核方建立了长期保护员工的目标,包括职业健康安全,社会福利和工作时间,并每年进行检视。但是,目标没有根据amfori BSCI行为准则进行实施,因此如机器设备安全,公平报酬和自由结社没有被涵盖。此外,这些目标没有通过可视的途径或者会议向员工告知。

Remarks from Auditee

Performance Area 3 : The rights of Freedom of Association and Collective Bargaining	
1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: Not Rated. 未评估。	
Remarks from Auditee:	
Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>Procedure of respecting freedom association and collective bargaining including worker representative system was established by the auditee. The factory did not restrict or interfere workers' rights to form and join worker representatives. The worker representatives in the factory were elected by workers themselves in a free and democratic manner. The management system of freedom association complied with the amfori BSCI values and principles. Meetings between workers and worker representatives were encouraged and supported by the auditee. Training of forming organization by workers under the law requirement was provided by the auditee. Neither workers nor worker representatives were discriminated because of their identity.</p> <p>被审核方建立了尊重自由结社和集体协议的程序, 其中包括员工代表制度。工厂没有限制或者干涉员工形成和加入员工代表的权力。工厂内的员工代表是在公平和民主的方式下由工人自己选举的。自由结社的管理体系符合amfori BSCI价值观和基本原则。被审核方鼓励和支持员工及其代表开展会议。为员工提供了建立法规允许的组织的培训。员工及员工代表没有因为他们的身份而受到歧视。</p>	
Remarks from Auditee	
Performance Area 4 : No Discrimination	
1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: Not Rated. 未评估。	
Remarks from Auditee:	
Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>Policy on non-discrimination was established by the auditee, including not discriminating workers because of their color, gender, social background, race, language, religion, or marital status etc. The auditee provide labor contract to all workers, and paid to workers on time. There was no confiscating personal ID card, illegal deduction or threat of violence identified during the audit. The promotion and hiring policy were transparent. Training on non-discrimination was conducted by the auditee for management and workers at least once a year. There was no discrimination case identified during the past 12 months.</p> <p>针对禁止歧视的政策已被建立, 其中包含了在肤色、性别、社会背景、种族、语言、宗教信仰、或婚姻状况等方面对员工的不歧视。被审核方为所有员工提供了劳动合同, 并及时支付薪酬。审核中没有发现没收个人身份证, 不合法的扣款以及暴力恐吓的情况。晋升和招聘政策是透明的。被审核方为管理层和员工至少每年举行一次禁止歧视的培训。在过去的12个月中没有发现歧视的案例。</p>	
Remarks from Auditee	

Performance Area 5 : Fair Remuneration	
1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A	Deadline date:22/09/2020
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory has established management procedures for salary and welfare. The factory collected local minimum wage standards. The local minimum wage was RMB 1550 yuan per month (RMB8.90 per hour) after July 1, 2018. Wage records from October 2018 to August 2019 were available for review. According to wage records, all employees were paid by hourly rate, with the minimum hourly wage of RMB14 higher than the local minimum wage standard. The wages were paid on 15th of each month by cash for the previous month. For the finding raised in last audit: 5.4 closed this time. According to management interview, the management knew how to calculate the decent living wage. According to employee interviews and wage records, the factory paid workers lowest total minimum wage of RMB 3982, which more than the local decent living wage. However, gaps were still noted in implementation.</p> <p>工厂建立了薪酬福利等管理程序。工厂收集了当地最低工资标准。当地最低工资在2018年7月1日之后是人民币1550元每个月(8.90元每小时)。2018年10月至2019年8月的工资记录提供了查看。根据工资记录,所有员工都是时薪制,每小时最低为人民币14元等于当地最低工资标准。工厂每个月15号通过现金支付工人上个月工资。5.4 此次关闭。根据管理访谈,工厂了解最低体面生活工资的计算方式。根据员工访谈和工资记录,工厂支付所有员工的最低总工资为3982元,高于当地体面生活工资。但是,在实施过程中仍存在差距。</p>	
5.5 -	<p>The factory social insurance coverage was insufficient. There were total 95 workers in factory currently (include 2 new employees and no retired worker). The recent one year social insurance records were checked. As per the social insurance records of August 2019, exclude the new workers, there were still 50 workers did not join the retirement, unemployment, medical, maternity and work injury insurance. As confirmed through workers and management interview, most workers bought the new rural insurance in their hometown and were reluctant to participate in social insurance. The factory did not collect the records of worker joining the new rural insurance. Remark: The factory provided group accident injury insurance of PICC Company for workers who did not join the social insurance, which was valid till July 24, 2020. Reference Law: PRC Labour Law Article 72&73.</p> <p>工厂的社会保险覆盖率不足。工厂目前一共95名员工(包括2名新入职员工,没有退休员工)。查看了最近一年的社保记录,根据2019年8月社保记录,除去新入职员工,仍有50名员工未参加养老保险,失业、医疗、生育和工伤保险。根据员工和员工访谈确认,社保是自愿购买,大部分员工在老家购买了新农保,不愿意参加社保。工厂没有搜集员工参加新农保的记录。备注:工厂有为未参加社保的员工提供中国人民保险公司的团体意外伤害险,有效期至2020年7月24日。参考法规:《中华人民共和国劳动法》第七十二&七十三条。</p>
Remarks from Auditee:	
Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: B	Deadline date:14/10/2019
Good practices	
Areas of improvement	
<p>Minimum wage was respected, and 150%, 200%, 300% of normal rate would be compensated for overtime on normal working days, Saturday and statutory holidays. Wage was paid by cash before 15th of each following month based on hourly-rate. Detailed information was included in pay slip, e.g. minimum wage, OT premium, and allowance, etc. Through document review such as employee manual, labor contract and interview from workers and management, the auditee established wages and benefit management procedure to ensure that all workers had been paid the minimum wages for regular working hours, legal required overtime premium for workers' overtime working, etc. The auditee started their business since 15 November 2017, therefore the payroll records of November 2017 to September 2018 was provided by the factory and 12 sample workers payment were reviewed. Through these samples reviewing, wages was calculated by hourly rate basis for production workers and the minimum wage was RMB 13 per hour paid by the factory. The local minimum wage was RMB 1350 per month equivalent to RMB 7.76 per hour before 1 July 2018, and since then it was RMB 1550 per month that was RMB 8.91 per hour. Social insurance was voluntarily chosen for workers. No any unreasonable deduction from wages was found in the factory except individual part of social insurance. However, there were still some gaps in implementation:</p> <p>最低工资有保证,工作日,周末及法定节假日的加班费按平时的150%, 200%, 300%来执行。工资按时薪核算,于每月15号以现金形式发放上个月工资。工资条包括基本工资,加班费,补贴等信息。通过文件审核,如员工手册、劳动合同和与访谈管理人员和员工,为了确保所有达到最低工资、法定加班等的要求,被审核方已经建立了工资和福利管理程序。工厂在2017年11月15日开始运营,因此提供了2017年11月到2018年9月这期间的工资记录,并且抽取其中12个样本。从抽样表明,生产员工的工资按时薪计算,工厂支付的最低时薪为每小时13元。当地的最低工资由2018年7月1日前为每月1350元等同于每小时7.76元,此后为1550元每月即为8.91元每小时。工人自由选择购买社保。除了个人需要缴纳的社保费用外,没有任何不合理扣款被发现。尽管如此,在实践中仍然存在一些偏差:</p>	
5.4 -	<p>The procedure of fair remuneration was set up by the factory, and during management interview, they had a clear understanding of local minimum wage and relevant law requirement. Nevertheless, the factory did not do the research or surveys to identify the possible gaps between actual payment and fair remuneration.</p> <p>工厂建立了公平需求工资的程序文件,在管理层访谈中了解,工厂对于当地的最低工资标准和相关法律法规有较清楚的了解。不过,工厂没有进行调查研究以识别出当前实际支付的薪酬和公平需求工资之间可能存在的差距。</p>
5.5 -	<p>As per reviewed past 12 months' online social insurance receipt together with the application form provided by the factory, and according to the latest social insurance receipt of September 2018, it was noted that the auditee did not provide medical insurance, accident insurance, pension insurance, maternity insurance and unemployment insurance to 58 out of 84 workers. Therefore the social insurance coverage was about 31%, which did not meet the law requirement. During workers interview, it was noted that the factory was willing to provide social insurance for workers but most workers did not want to attend the social insurance because they could not enjoy the social benefit while left for other province, and they preferred to gain more income rather than deducted by insurance as per law. By interviewing with management representative, the factory had tried to communicate with workers and planned to offer social insurance for all workers, but due to the incoordination of workers made it difficult to implement. On the other hand, as a result of operational cost, the auditee would increase the social insurance coverage gradually. Reference law: article 72 and 73 of PRC Labor law. Remark: No worker had participated in the rural pension insurance. There was no re-employ after retirement worker or newly recruitment in the latest one month. The auditee had provided commercial accident insurance (individual) to other 58 workers who were not covered by social accident insurance. And the contract was signed with Huatai Insurance Group from 27 July 2018 to 27 July 2019.</p> <p>查阅了最近12个月的在线社保收据以及申请表,并根据最近2018年9月的收据显示,被审核方没有为84名员工中的58人提供医疗保险、工伤保险、养老保险、生育保险和失业保险。因此社会保险的覆盖率约为31%,没有达到法规的要求。员工访谈了解到,工厂愿意为员工提供社会保险,但大部分员工不</p>

愿意参加, 因为到了其他省份将不能享用社会保险福利, 并且员工更愿意增加收入而不想被保险扣除法定的费用。管理层访谈得知, 工厂尝试与员工沟通并计划为员工提供社会保险, 但由于工人的不配合导致难以实施。另一方面, 由于考虑到运营的成本, 被审核方将会逐步增加社保的覆盖率。参考法规: 中华人民共和国劳动法第七十二条和七十三条。备注: 没有员工参与了农村养老保险。没有发现有退休返聘员工, 最近一个月没有新入职的员工。被审核方向未被社会工伤保险涵盖的其余58人提供了个人商业意外险。合同与华泰保险公司签订, 时间为2018年7月27日至2019年7月27日。

Remarks from Auditee

Performance Area 6 : Decent Working Hours

1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: D

Deadline date:22/09/2020

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The factory established the working hour's procedure. Attendance records from October 2018 to September 23, 2019 were available for review. The factory used IC card system to record workers' working hours. November 2018, July 2019 and August 2019 were the main sampling months. Each month, 10 workers were randomly selected from different departments as samples. From November 2018, the SMT workers' shifts were adjusted to three shifts: 8:00-16:00, 16:00-24:00, 24:00-8:00 (SMT workers' shift was 8:00-12:00, 13:30-17:30 as other employees before this time). The rest of the employees worked for one shift: 8:00-12:00, 13:30-17:30. Night overtime was usually from 18:30 to 20:30. On Saturday, 8 hours overtime was generally arranged, and Sunday was the rest day. Within the sampling months, the maximum overtime of worker was 2 hours per day, 16 hours per week and 72 hours per month. However, gaps were still noted in implementation.

工厂建立了工作时间程序。2018年10月至2019年9月23日的考勤记录提供了查看。工厂使用IC卡系统来记录工人上班时间。2018年11月, 2019年7月和2019年8月作为主要抽样月份。每个月随机从不同部门抽取10名员工作为样本。贴片部门工人从2018年11月开始调整为三班倒: 8:00-16:00, 16:00-24:00, 24:00-8:00 (在此之前和其他员工一样8:00-12:00, 13:30-17:30)。其余所有员工为一班: 8:00-12:00, 13:30-17:30。晚上加班一般为18:30-20:30。周六一般安排8小时加班, 周日为休息日。在抽样的月份里, 工人每天最大加班2小时, 每周最大加班为16小时, 每月最大加班为72小时。但是在实施过程中仍存在差距。

6.2 - As per the reviewed time records from October 2018 to September 23, 2019. There was no obvious peak season in the facility. 10 sampled employees' time records were selected in November 2018, June 2019 and July 2019. The samples and the detailed overtime hours were as below: All 10 sampled employees' monthly overtime hours in November 2018 were exceed 36 hours, which up to 66 hours. All of 10 sampled employees' monthly overtime hours in June 2019 were exceed 36 hours, which up to 68 hours. All 10 sampled employees' monthly overtime hours in July 2019 were exceed 36 hours, which up to 72 hours. The factory did not set the working hour pre-warning system yet to control workers' overtime. In addition, no reasonable production schedule was established. Thus, workers conduct excessive monthly overtime systematically exceeding local law requirement in the reviewed months. As per workers statement, overtime work was voluntary and they could refuse to work overtime and no punish for the refuse of overtime. They did not know the upper limit of the overtime working. Remark: The maximum monthly overtime hours in September 2019 (till September 23, 2019) were up to 46 hours. Reference Law: PRC Labour law, Article 41.

根据2018年10月至2019年9月23日的考勤, 工厂没有明显的淡旺季。2018年11月, 2019年6月, 2019年7月分别抽了10名员工, 加班情况如下: 2018年11月份所有10名抽样员工月加班超过36小时, 最大为66小时, 2019年6月份所有10名抽样员工月加班超过36小时, 最大为68小时, 2019年7月份所有10名抽样员工月加班超过36小时, 最大为72小时。工厂没有建立工时预警系统来控制工人过多加班, 也没有制定合理的生产排期。因此, 员工在查看的月份都加班系统性超过法律要求。受访的工人称加班是自愿的, 可以拒绝加班, 没有因此受到惩罚。不清楚加班上限值。备注: 2019年9月(至2019年9月23)最大月加班小时为46小时: 参考法律《中华人民共和国劳动法》第四十一条。

Remarks from Auditee:

Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: D

Deadline date:14/10/2019

Good practices

Areas of improvement

The auditee defined normal working week from Monday to Friday and rest day on Saturdays and Sundays. Normal working hours in the factory were 8 hours per day and 40 hours per week which was included in working hours control procedure and worker manual. The auditee executed standard working hours which could be identified in the labor contract. IC card attendance machine was used for time recorder. Workers required to record their attendance before work and after work. Sufficient rest time was provided for workers and the overtime was voluntary. At least 8 hours rest time within 24 hours was ensured. At least one day off after 6 days consecutive working days was guaranteed. Workers could ask for leave freely by orally or written application. Only one shift arranged for all workers, 08:00-12:00 and 13:30-17:30. OT would be taken from 18:30-20:30 usually during working days. 8 hours on Saturdays and no OT on Sundays. Based on the attendance records from 15 November 2017 to 15 October 2018, it was identified that maximum daily OT were 2 hours, maximum monthly OT were 56 hours. However, improvement was needed in PA 6.2. Remark: For current month (updated to audit day 15 October 2018), the maximum daily OT were 2 hours and maximum monthly OT were 20 hours in October 2018.

被审核方定义正常工作周为周一至周五, 休息日为周六和周日。工时管控程序和员工手册显示正常上班时间为8小时每天和40小时每周。被审核方实行标准工时制, 且在劳动合同上注明。考勤系统为IC卡打卡方式。员工被要求在上下班都要进行打卡。为员工提供了充足的休息时间而且加班是自愿的。在24小时内至少确保员工有8个小时的休息时间。每连续工作6天后的第7天休息得以保证。员工可以通过口头或者书面形式自由请假。所有一班制, 由08:00-12:00, 13:30-17:30。通常工作日加班为18:30-20:30。周六加班8小时, 周日没有安排加班。根据由2017年11月15日至2018年10月15日的考勤表可以确认, 最大的日加班为2小时, 最大的月加班为56小时。然而, PA6.2仍需改善。备注: 对于当前月2018年10月(截止至审核当天2018年10月15日), 最大日加班为2小时, 最大月加班为20小时。

6.2 - The workforce planning was conducted but still could not guarantee controlling of working hours. By reviewing the payroll records from 15 November 2017 to 15 October 2018, it was noted that the monthly overtime exceeded 36 hours from May till September. For 12 sample workers, in May 2018, all 12 workers' overtime were 54 hours; in June 2018, all 12 workers' overtime were 56 hours, and in September 2018, all 12 workers' overtime were 46 hours. From workers interview, the arrangements of the overtimes would be informed to workers in advance, and was voluntary and no need to ask for a leave while not participating. The management representative mentioned that since the labor shortage, the monthly overtimes would exceed requirements from time to time. Reference Law: China Labor Law, Article 41.

实行了劳动规划但仍不能保证工作时间的管控。通过查阅由2017年11月15日至2018年10月15日的考勤信息, 发现从5月至9月的月加班超过36个小时。对于12名抽样员工, 在2018年5月加班时间为54个小时; 在2018年6月加班时间为56个小时; 在2018年9月加班时间为46个小时。从员工访谈了解到, 加班的安排会提前告知, 而且是自愿的, 不参与不需要请假。管理者代表解释由于劳动力的短缺导致加班有时会超过相关规定。参考法规: 中华人民共和国劳动法第41条。

Remarks from Auditee

Performance Area 7 : Occupational Health and Safety

1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A

Deadline date:22/03/2020

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The factory had established occupational health and safety management procedure. The factory had conducted the occupational health and safety risk assessment and provided the proper PPE such as goggles, masks and earplugs for employees in occupational hazards and risk positions. There were at least 2 safety exits in each work area and safety exits were installed with lighting exit signs and emergency lights. The firefighting equipment such as fire alarm, fire extinguishers, fire hydrant, automatic sprinkler system, etc. were adequate installed and checked monthly. Fire drills were conducted twice a year. The factory also regularly trained all employees in health and safety aspects such as machine and equipment safety, chemical safety, fire safety and so on. First aid kits were available in each workshop. First aid agreement was also signed with nearby hospital. Drinking water was provided free of charge. Sufficient toilets segregated by gender and free soap and paper were available at all times to employees. Ventilation, temperature and lighting were adequate in the factory. For the finding raised in last audit: 7.4 closed this time. According to the health and safety risk assessment records in 2019, worker and management interview confirmed that workers and worker representatives participated in the risk assessment. 7.6 closed this time. According to documentation and worker interview, all SMT employees received PPE training. According to field observation, all SMT employees wore earplugs correctly. 7.11 closed this time. The factory has obtained the Construction acceptance report and provided for review on the day of audit. Remark: The factory did not provide canteen, dormitory and transportation for employees. However, gaps were still noted in implementation.

工厂建立了职业健康安全管理体系。工厂进行了职业健康和风险评估，对存在职业危害和风险岗位的员工提供了合适的个人防护用品如护目镜、口罩和耳塞。每个工作区至少有2个安全出口，安全出口上方安装有灯光式出口标志和应急灯。消防设备如消防报警器、灭火器、消火栓、自动喷淋系统等安装充足，每月进行一次检查。消防演习每年进行两次。工厂也会定期对所有员工进行健康安全方面的培训如机器设备安全，化学品安全，消防安全等等。每个车间均有提供急救药箱。急救协议也与附近医院进行了签署。饮用水免费提供。提供了不同性别使用的洗手间，肥皂和纸巾有免费提供，员工随时可以使用。工厂通风，温度和照明充足。针对上次审核出现的问题：7.4 此次关闭。根据2019年度的健康安全风险评估记录，员工和管理访谈确认，员工和员工代表有参加风险评估。7.6 此次关闭。根据文件记录和员工访谈，所有SMT员工均有接受PPE的培训。根据现场观察，所有SMT部门员工均有正确佩戴耳塞。7.11此次关闭。工厂取得了竣工验收报告，并在审核当天提供了查看。备注：工厂没有为员工提供食堂、宿舍和交通工具。但是，在实施过程中仍存在差距。

7.1 - The soldering workers were contact with occupational hazards factor of soldering dust. The factory provided in-service occupational health check-up to them. However, the factory did not provide 2 resigned soldering workers in recent one year with job leaving occupational health check-up. The management explained that the workers did not want to do it. Reference Law: PRC Law on Prevention and Control of Occupational Diseases, Article 35

工厂的焊锡工人会接触焊锡烟尘职业危害因素。工厂有为这些员工提供了在岗职业健康体检。然而，工厂没有为最近一年内2名离职的焊锡员工提供离岗职业健康体检。管理解释，员工自己不愿意做。参考法规：《中华人民共和国职业病防治法》第三十五条

7.7 - 1. The glue stored in the chemical storage area on the fourth floor of the factory only had its name posted and no chemical safety label posted. Reference Law: Regulation on chemical safe handling in workplace (1997), 12 2. The glue stored in the chemical storage area on the fourth floor of the factory was not provide with secondary container. Reference Law: Article 20 of Regulation for Safety of Hazardous Chemical.

1. 工厂4楼化学品存放区存放的胶水只张贴了名字，没有张贴化学品安全标签。参考法律：《工作场所安全使用化学品规定》(1997)第十二条 2. 工厂4楼化学品存放区存放的胶水，没有提供二次容器。参考法规：《危险化学品安全管理条例》第20条。

7.9 - Workshop occupational hazards were monitored in the factory, but the results were not posted on the workshop notice board for workers to review. Management explained that they forgot to post it. Reference law: Law of the People's Republic of China on the Prevention and Control of Occupational Diseases, Article 24

工厂进行了车间职业危害因素的检测，但是并未将检测结果张贴在车间宣传栏以便员工查看。管理人员解释，他们忘记张贴了。参考法律法规：《中华人民共和国职业病防治法》第二十四条

Remarks from Auditee:

Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A

Deadline date:14/10/2019

Good practices

Areas of improvement

The auditee had established the Occupational Health and Safety Management Procedure and collected the relevant law and regulations on occupational health and safety relevant for its activities regularly. One senior management was assigned to responsible for implementation of the occupational health and safety issues and he was responsible for updating the relevant law, regulation and customs' standard quarterly. The workplace was maintained in suitable humidity, temperature and lighting. Occupational health and safety training was provided to workers. The auditee had conducted the occupational disease examination for workers who working for hazardous environment. Workers had right to remove herself or himself from imminent danger without seeking permission from their management. First aid facilities had provided at the workplace and the auditee recorded the accident case accordingly. The auditee provided the adequate potable water at workplace for free drinking. The potable water had been tested and the result was acceptable. Firefighting facilities had installed and inspected monthly, such as fire alarm system, fire extinguishers, emergency lights, evacuation exit sign etc. The auditee carried out the fire drills twice per year in December 2017 and August 2018, and all workers attended. The evacuation time was controlled within 5 minutes. Evacuation routes were not blocked and evacuation plans had posted at each floor. The industrial hygienic inspection including indoor air and noise was conducted on 2 January 2018. Test of potable water was conducted on 11 December 2017. The three elevators were tested on 6 July 2018. By reviewing the test report, there was no negative result identified. The auditee had obtained the fire control acceptance, and by checking the outlook and inside structure of the building, there was no obvious damage identified. No canteen, dormitory or transportation provided by the auditee. However, gaps had been identified in implementation.

被审核方建立了职业健康与安全程序且定期地收集与其相关活动的职业健康与安全方面的法律法规。一名高级管理层被任命负责职业健康与安全项目的执行且负责每季度更新相关法律法规和客户的要求。工作场所的环境保持合适的湿度、温度和照明。职业健康与安全通过培训传递给员工。被审核方对工作在职业危害作业环境的员工进行了职业病体检。员工有权从重大危险法发生时立即撤离而不需要经过管理人员的许可。作业场所提供了急救设施且工伤事故都会被记录。被审核方提供了足够的饮水设施给员工免费饮用。饮用水进行了检测并检测结果合格。消防设施已经进行了安装和定期的检查，例如消防报警系统、灭火器、应急照明，安全出口标识等。被审核方每年进行两次的消防演习，分别为2017年12月和2018年8月，所有员工都参与了。逃生时间控制在5分钟以内。车间逃生路线不受堵，逃生计划在每楼层张贴。工业卫生监测包括室内空气和噪声于2018年1月2日进行。饮用水检测于2017年12月11日。3台电梯在2018年7月6日实行检验。查阅检测报告，没有出现不符合结果。被审核方获取了建筑消防验收，通过查看外观和内部结构，没有发现有明显的破损现象。被审核方没有为员工提供食堂、宿舍和交通工具。然而，在实施中仍存在差距。

- 7.4 -** The auditee had conducted EHS risk assessment in the production area, but according to workers interview and documents review, it was noted that neither workers nor the worker representative involved in health and safety risk assessment.
被审核方对生产区域进行了健康安全风险评估,但是根据员工访谈和文件审核发现,员工和员工代表均没有参与进健康安全风险评估中。
- 7.6 -** During site observation, there was noise produced in the SMT section, but 3 workers this section did not wear the provided earplugs while working. Through workers interview, they confirmed that the earplugs were provided by the factory free of charge, but because of the carelessness, they forgot to wear them while operating the machines. According to management representative, the training of how-to-use-PPE was provided for workers, but some workers did not aware of the importance. Reference law: Production Safety Law of the People's Republic of China, article 42.
现场走场发现, SMT部门产生噪声,但3名该部门的员工在工作中没有佩戴工厂提供的耳塞。在员工访谈后得知,工人确认耳塞是免费提供的,但是由于自己的疏忽忘记在运行机器的时候佩戴。管理者代表告知为员工提供了使用个人防护用品的培训,但有些工人没有意识到重要性。参考法规:《中华人民共和国安全生产法》第42条。
- 7.7 -** During factory tour, it was identified that the management of chemicals was not fulfillment. The auditee had designated a place for chemical storage, but there were no safety labels for three bottles of glue. According to workers interview, they did not know the requirements. The management mentioned that because of the carelessness, some chemicals were not managed in a proper way. Reference law: Regulations on Safety in Workplaces Where Chemicals Are Used, Article 12.
现场审核发现,工厂的化学品管控不够完善。被审核方指定了一个专门存放化学品的区域,但是有三桶胶水没有张贴安全标签。受访谈的员工不了解这个要求。管理层表示由于疏忽导致部分化学品的管控不到位。参考法规:《工作场所安全使用化学品规定》第12条。
- 7.11 -** The auditee did not provide the construction acceptance of the 5-storey production building for review. According to the management, it was noted that the building was constructed in the year of 2017 and the total production area were 17496 square meters while the land coverage of the building was 3431 square meters. The auditee only rented the fourth floor and the fifth floor and the production size were 7300 square meters. The management representative explained that the construction acceptance was not provided by the landlord. Reference law: Construction Law of the People's Republic of China, Article 61.
工厂未能提供5层生产楼的竣工验收予以审核。根据管理层告知,该栋建筑于2017年建成,总建筑面积为17496平方米,占地面积为3431平方米。被审核方仅租用第四层和第五层,涵盖建筑面积为7300平方米。管理层代表解释这是由于其房东没有提供竣工验收。参考法规:《中华人民共和国建筑法》第六十一条。

Remarks from Auditee

Performance Area 8 : No Child Labour

1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A

Deadline date:

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

Not Rated.
未评估。

Remarks from Auditee:

Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A

Deadline date:

Good practices

Areas of improvement

The written procedure of forbidden child labor and remediation child labor was established, and the procedure has been trained to workers. The factory would check the ID when worker was recruiting, the ID copies of worker were remained in the personnel files properly; no Child Labor was found during this audit. The recent personal portrait was tagged on worker's personnel file for identification. By interviewing the management representative, the auditee had a firm idea of not hiring child labor and knew clearly of the law requirement. According to onsite observation and documents review, there was no child labor identified during the audit.
工厂建立了禁用童工和童工补救程序,并且程序已经对员工进行了培训。工厂会检查每一位新入职员工的身份证件,员工的身份证副本已保存在员工的人事档案中。工厂没有使用童工。员工的肖像近照附在了人事档案上,便于识别。与管理者代表沟通得知,被审核方对于不招聘童工有着坚定的理念,并对该法规有清楚的认识。经现场观察和文件审核,没有发现有童工。

Remarks from Auditee

Performance Area 9 : Special protection for young workers	
1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: Not Rated. 未评估。	
Remarks from Auditee:	
Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>It was noted that the factory had established policies and procedure to identify young workers. As per this procedure, the factory stipulated that if young workers were used, they could not be arranged at the position with heavy task and they could not be arranged to work in night shift. A procedure regarding working conditions of young workers was also established to handle young worker issue and minimize the risks. Also conducted OHS risk assessment and identified possible protective measures. And there was no young workers in the factory during this audit.</p> <p>工厂建立了政策和程序去识别未成年工。根据该程序, 工厂规定如果聘用了未成年工, 他们不能被安排在任务繁重的工位, 也不能被安排上夜班。一个针对未成年工工作条件的程序也建立起来去处理未成年工事项和降低风险。并且公司针对青年工的职业健康与安全风险进行评估, 并识别可能的保护措施。工厂现场也没有发现未成年工人。</p>	
Remarks from Auditee	
Performance Area 10 : No Precarious Employment	
1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: For the finding raised in last audit: 10.2 closed this time. According to document review and workers interview, the factory has supplemented the occupational hazard notification agreement with all workers exposed to occupational hazards. 针对上次审核出现的问题:10.2 此次关闭。根据文件查阅和员工访谈, 工厂已经和所有接触职业危害岗位工人补充了职业危害告知协议。	
Remarks from Auditee:	
Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A	Deadline date:14/04/2019
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory had established a policy based on amfori BSCI standards and local law requirements to protect employment relationship. All workers were recruited directly by auditee and all workers signed the labor contract with factory. And reviewing the personal file of workers, ID copies of employees were obtained. Through worker interview, workers knew the content of labor contract. The auditee kept accurate records on workers' work cycles, and provided the labor of all workers for review. No dispatched workers, seasonal workers, migrant workers, summer job workers and temporary workers hired by auditee.</p> <p>工厂基于amfori BSCI的标准和当地法规要求建立了政策以保护雇佣关系。所有的员工都是被审核方直接招聘的并且所有的员工都签署了劳动合同。并且在浏览员工人事档案时, 保留了员工的身份证复印件。通过员工访谈, 员工了解劳动合同的内容。被审核方保留了员工工作循环准确的记录并且提供了所有员工的劳动合同。被审核方没有雇佣派遣工、季节工、外劳、暑期工以及临时工。</p> <p>10.2 - As per workers labor contracts review and workers interview, it was noted that occupational hazards information card was posted in the production area, and occupational health examination was provided to workers. But no occupational hazards notification was in place for workers (The main occupational hazard were noise from SMT section and dust from tin soldering post). Reference Law: Article 33 of Law of the People's Republic of China on Prevention and Control of Occupational Diseases. 工人劳动合同审核以及员工访谈发现, 生产区域张贴了职业病危害告知卡, 以及工厂为员工提供了职业病体检。但是工厂没有对有害岗位(主要危害为贴片部门的噪声和焊锡岗位的锡尘)进行职业危害告知。参考法规: 中华人民共和国职业病防治法第三十三条。</p>	
Remarks from Auditee	

Performance Area 11 : No Bonded Labour	
1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: Not Rated. 未评估。	
Remarks from Auditee:	
Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>Written procedure was established by the auditee to guarantee no bonded labor. Per onsite observation, documents review, and workers interview, it was noted that the auditee did not engage in any form of servitude, forced, bonded, indentured, trafficked or non-voluntary labor. Satisfactory evidence showed that the auditee did not subject workers to inhumane or degrading treatment, corporal punishment, mental or physical coercion and/or verbal abuse. Per document review of disciplinary procedures, it was reasonable and communicated with workers by training. There was no restriction of workers while off-duty. All employees are freely to terminate their relationship with the auditee. No deposit was required while recruitment or resignation. No migrant workers identified during the audit day.</p> <p>工厂建立了书面的程序保证不雇佣抵债工。根据现场观察, 文件审核和员工访谈, 工厂未雇佣任何形式的劳役、强迫、抵债、契约、贩卖或非自愿工人。充足的证据显示工厂未虐待、体罚、精神和肉体/语言的侮辱。厂纪厂规是合理的并有通过培训跟工人沟通。员工下班后没有限制离厂自由。招聘或离职不需要缴纳押金。审核中未发现外籍劳工。</p>	
<u>Remarks from Auditee</u>	

Performance Area 12 : Protection of the Environment	
1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A	Deadline date:22/10/2019
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory has obtained the EIA report form, approval and Environmental Protection Check and Acceptance report. The factory has also obtained the pollution discharge permit (No. 4413042018033508), which was valid until January 21, 2022. The factory main product was LED Strip Light. Main production processes were SMT, assembly, inspection and packaging. There was no industrial waste water generated in factory. SMT and soldering processes will produce waste gas. The factory regularly inspected production exhaust gas and factory boundary noise. Hazardous wastes such as empty chemical barrels were regularly entrusted to qualified units for recycle. For the finding raised in last audit: 12.1 closed this time. On December 19, 2018, the factory obtained the Environmental Protection Check and Acceptance report and provided for review. However, gaps were still noted in implementation.</p> <p>工厂取得了环评报告表, 批复以及环保竣工验收报告。工厂也取得了排污许可证(编号:4413042018033508), 有效期至2022年1月21日。工厂主要产品是LED灯条, 主要工序为SMT, 装配, 检验和包装。工厂没有生产废水产生, SMT和焊锡过程会产生废气。工厂有定期检测生产废气和厂界噪音。产生的危险废弃物如化学品空桶有定期委托有资质单位进行转移。针对上次审核出现的问题:12.1 此次关闭。工厂在2018年12月19日取得了环保竣工验收报告并提供了查看。但是, 在实施过程中仍存在差距。</p>	
12.2 -	<p>The factory provided the laws of environmental protection. However, the factory did not established the management procedure to update and implemented the appropriate environmental laws, and the auditee did not identify the reliable channels for laws collection, or define the updated frequency.</p> <p>工厂提供了环保方面的法律法规。然而, 工厂并没有制定管理程序去更新和实施适用的环保法律, 也没有识别可信的渠道去搜集法律法规, 也没有界定更新的频率。</p>
Remarks from Auditee:	
Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: B	Deadline date:14/10/2019
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The facility had collected the laws and regulations on environment protection. Written environmental policies was established to protect the environment. The risk assessment of environmental impact was conducted. The hazardous waste such as waste chemical containers and so on was transferred to licensed vendor for disposing. The auditee had conducted environmental impact assessment and obtained the approval. Pollutant discharging permit was obtained and valid from 30 May 2018 to 30 May 2019. The main pollutant of the factory were domestic wastewater, air emission and noise. The inspection of air emission was conducted on 26 June 2018. Domestic waste water was inspected on 28 June 2018. And the inspection of factory boundary noise was conducted on 26 June 2018. Per review of the above inspection report, there was no negative result identified. There was no industrial waste water generated.</p> <p>工厂收集了环境保护的法律法规。建立了环境保护的程序。风险评估包含了环境影响。产生的危险废弃物如废化学品空桶等转移给有资质公司处理。被审核方进行了环境影响评估并获取了批复。排污许可证有效期为2018年5月30日至2019年5月30日。工厂主要的污染为生活污水, 废气和噪声。废气检测于2018年6月26日进行。生活污水于2018年6月28日进行检测。厂界噪声为2018年6月26日检测。通过查阅上述检测报告, 没有出现超标项目。被审核方没有产生工业废水。</p>	
12.1 -	<p>According to documents review, it was noted that the auditee had conducted Environmental Impact Assessment and obtained its Approval. However, the auditee did not obtain the Environmental Protection Check and Acceptance. Through management representative, they were applying for the Acceptance and would obtain it in the following months. Reference law: Management Regulations for Environmental Protection of Construction Projects, article 17.</p> <p>根据文件审核得知, 被审核方进行了环境影响评估并获取了其批复。然而, 被审核方没有获取建设项目环保竣工验收。管理层告知, 目前正在申请当中, 并在接下来几个月拿到。参考法规: 建设项目环境保护管理条例第17条。</p>
12.2 -	<p>The auditee had collected the law of environmental protection. Nevertheless, there was no procedures established on how to update the appropriate relevant environmental laws continuously, and implemented into daily production activities. The auditee did not identify the reliable channels for laws collection, or define the updated frequency.</p> <p>工厂收集了环保方面的法律法规。但工厂没有制定程序规定如何持续更新适用的环保法律法规, 并转化到其日常的生产活动中。被审核方也没有识别哪些可信的渠道进行法律法规的收集, 没有界定法律法规收集及更新的频率。</p>
Remarks from Auditee	

Performance Area 13 : Ethical Business Behaviour	
1- Followup Audit [Audit Id - 163187] Audit Date: 23/09/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>For the finding raised in last audit: 13.4 closed this time. According to training records and employee interviews, the factory trained all employees on information security procedure, including personal privacy data protection on July 17, 2019.</p> <p>针对上次审核出现的问题:13.4 此次关闭。根据培训记录和员工访谈确认, 工厂为所有员工在2019年7月17日培训了信息安全程序包括个人隐私数据保护。</p>	
Remarks from Auditee:	
Full Audit [Audit Id - 135567] Audit Date: 15/10/2018 PA Score: A	Deadline date:14/04/2019
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The auditee has established the procedure for preventing any act of corruption, extortion or embezzlement, or any form of bribery in its activities as a business enterprise. Anti-corruption procedure was established and has been trained to all the workers. And the factory signed social agreement with all the suppliers. Business ethics risk assessment was conducted and the act of corruption, bribery and unethical behavior in any form was prohibited. Policy and procedure of protecting individual privacy were established. No case of invading personal privacy was identified during the audit.</p> <p>工厂已经建立反对在其企业活动中出现的任何贪污、勒索或挪用行为、或任何贿赂形式的程序。工厂建立了反对腐败程序规定, 并对所有员工进行了培训。工厂已经与供应商签署了社会责任协议。工厂已经进行了商业道德风险评估, 工厂反对任何形式的腐败、贿赂和不道德的商业行为。工厂建立了个人隐私保护程序。在审核中没有发现有侵犯个人隐私的案件。</p> <p>13.4 - It was noted that the facility had established procedures and policy on protecting personal privacy, such as personal data, wage records and labor contract, etc. However, there was no training on this kind was provided to employees.</p> <p>工厂建立了有关保护个人隐私的程序和政策, 如保护个人资料, 工资记录以及劳动合同等。但未对员工进行此类型的培训。</p>	
<u>Remarks from Auditee</u>	

Summary



Audit Type	Date	Audit Id	PA1	PA2	PA3	PA4	PA5	PA6	PA7	PA8	PA9	PA10	PA11	PA12	PA13	Overall Rating
Follow-up Audit	23/09/2019	163187	D	A	A	A	A	D	A	A	A	A	A	A	A	C
Full Audit	15/10/2018	135567	D	A	A	A	B	D	A	A	A	A	A	B	A	C

Producer Photos



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



Photo of fire safety equipment
Fire alarm.jpg



Photo of the inside of the main production hall
Assembly and packing section.jpg



External photo(s) of the production unit(s)
Production building outlook.jpg



Photo of fire safety equipment
Fire extinguisher.jpg



Photo of the inside of the main production hall
Finished goods warehouse.jpg



Photo first aid facilities
Eyewash station.jpg



Photo of fire safety equipment
Fire hydrant tested.jpg



Photo of the inside of the main production hall
Raw material warehouse.jpg

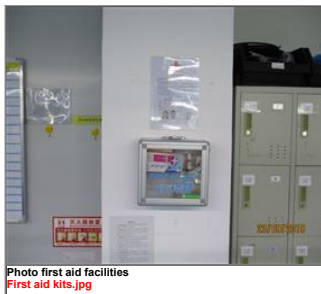


Photo first aid facilities
First aid kits.jpg



Photo of fire safety equipment
Fire hydrant.jpg



Photo of the inside of the main production hall
SMT.jpg



Photo of chemical storage room (if applicable)
Chemical warehouse.jpg



Photo of fire safety equipment
Fire sprinkler system and smoke detector.jpg



Photo of the inside of the main production hall
Soldering section.jpg



Photo of non-conformity
NC 6.2 Monthly overtime exceed 36 hours.JPG

姓名	日期	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	合计
...

