
Auditee :	NINGBO SHANHUANG ELECTRICAL APPLIANCE CO., LTD.
Audit Date From :	29/08/2018
Audit Date To :	29/08/2018
Expiry Date of the Audit :	Please refer to the producer profile in the amfori BSCI platform
Auditing Company :	TUEV Rheinland
Auditor's Name(s) :	Ation Lin(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																																							
A Very Good	<ul style="list-style-type: none">• Minimum 7 Performance Areas rated A• No Performance Areas rated C, D or E 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 Good	<ul style="list-style-type: none">• Maximum 3 Performance Areas rated C• No Performance Areas rated D or E 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																													
C Acceptable	<ul style="list-style-type: none">• Maximum 2 Performance Areas rated D• No Performance Areas rated E 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																													
D Insufficient	<ul style="list-style-type: none">• Maximum 6 Performance Areas rated E 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																													
E Unacceptable	<ul style="list-style-type: none">• Minimum 7 Performance Areas rated E 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																													
Zero Tolerance	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 :	NINGBO SHANHUANG ELECTRICAL APPLIANCE CO., LTD.		
DBID number :	340397		
Audit ID :	131359		
Address :	No. 115 Xingongyi Road, Xinxing Industrial Area, Ninghai, Ningbo		
Province :	Zhejiang	Country :	China
Management Representative :	Xiayu CHEN		
Contact person:	Xiayu Chen	Sector :	Non-Food
Industry Type :	Mechanical and electrical engineering	Product group :	Electrical supplies
Product Type :	Aroma diffuser, LED candle 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 type="checkbox"/> Fully-Announced	<input type="checkbox"/> Fully-Unannounced <input checked="" 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 : 29/08/2019

Rating per Performance Area (PA)

PA 1	PA 2	PA 3	PA 4	PA 5	PA 6	PA 7	PA 8	PA 9	PA 10	PA 11	PA 12	PA 13
D	A	A	A	B	D	A	A	A	A	A	C	A

Executive summary of audit report

1. The address in business license in Chinese was “宁波市宁海县桃源街道兴工一路115号 (新兴工业园区)” (Xinxing Industrial Area) No.115, Xingongyi Road, Taoyuan Street, Ninghai County, Ningbo City.

2. Factory address changed from “No. 115 Xingongyi Road, Ninghai County, Ningbo” in last audit report to “No. 115 Xingongyi Road, Xinxing Industrial Area, Ninghai, Ningbo, China”. The detailed reason as following: The Registration Form for Foreign Trader showed its address description was different with that in BSCI platform, so it will be updated based on its The Registration Form for Foreign Trader “No. 115 Xingongyi Road, Xinxing Industrial Area, Ninghai, Ningbo, China”.

3. Total 2 buildings and 4 enterprises (A: the auditee; B: Zhejiang Huakun Construction Designing Institute Co., Ltd.(浙江华坤建筑设计院有限公司); C: Ningbo Dexin Engineering Management Co., Ltd. (宁波德信工厂管理有限公司); D: Ninghai Zeyuanlou Restaurant (宁海泽缘楼饭店)) were located at the audit address. The building belonged to Ninghai Roujie Molding Co., Ltd. (宁海县柔杰模塑有限公司).

4. No.1 building was 4-storey. 1st and 2nd floors were used by the auditee as production workshop and office. 3rd floor was used by B and C enterprises as office. 4th floor was used by D enterprise.

No.2 building was 1-storey which was used by the auditee as injection workshop.

5. The total building area used by auditee was about 2,600 square meters. The main product manufactured by the facility was aroma diffuser, LED candle light. The main production processes were listed as follows: injection, assembly and packing.

6. No obvious slack or peak season for the auditee. No canteen, dormitory or transportation was provided. No any process was sub-contracted. All workers were directly hired by the auditee. No dispatching workers were used by the auditee. The auditee was cooperative during audit, factory management let auditor do worker interview and take photos, agreed with findings.

Ratings Summary



Auditee's background information			
Auditee's name :	NINGBO SHANHUANG ELECTRICAL APPLIANCE CO., LTD.	Legal status :	Ltd company
Local Name :	宁波闪煌电器有限公司 (91330226793018517D)	Year in which the auditee was founded :	2006
Address :	No. 115 Xingongyi Road, Xinxing Industrial Area, Ninghai,	Contact person (please select) :	Xiayu Chen
Province :	Zhejiang	Contact's Email :	419357@qq.com
City :	Ningbo	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) :	N/A
GPS coordinates :	N29°19'2.45" E121°25'44.03"	Total turnover (in Euros) :	3600000.00
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 :	45000 Pieces / Month
Product Group :	Electrical supplies	Production cost calculation :	Yes
If other, please specify :		Lost time injury calculation cost :	Yes
Product Type :	Aroma diffuser, LED candle light		

Auditee's employment structure at the time of the audit		
Total number of workers :	42	Total number of workers in the production unit to be monitored (if applicable) : 0
	MALE WORKERS	FEMALE WORKERS
Permanent workers	0	0
Temporary workers	12	30
In management positions	3	0
Apprentices	0	0
On probation	0	0
With disabilities	0	0
Migrants (national citizens)	6	24
Migrants (foreign citizens)	0	0
Workers on the permanent payroll	12	30
Production based workers	0	0
With shifts at night	0	0
Unionised	0	0
Pregnant	-	0
On maternity leave	-	0

Finding Report



Performance Area 1 : Social Management System and Cascade Effect

Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: D

Deadline date:31/12/2018

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The factory had developed the social compliance management system and assigned a senior manager Mr. Xiayu Chen (Sales Manager) to take lead in implementing and maintaining the system. Mr. Chen had a good understanding of amfori BSCI COC and delivered the content of amfori BSCI COC to all department head and workers by training. Amfori BSCI COC was clearly posted in the production workshops. The factory communicated amfori BSCI COC with the main suppliers and requested them to sign back the social compliance commitment letters, amfori BSCI COC and TOI. And the factory also conducted social assessment to the main suppliers regularly.

工厂建立了社会责任管理体系, 并任命了高级管理人员陈夏瑜先生(销售经理)负责整个工厂社会责任管理体系的实施与维护。陈先生对amfori BSCI行为守则的内容有较好的了解, 并通过培训的方式将BSCI行为守则的内容传达给了各部门的负责人和所有员工。Amfori BSCI行为守则张贴在生产车间。工厂有将amfori BSCI行为守则的内容与其主要的供应商进行了沟通, 并要求其主要的供应商签署了社会责任承诺书, amfori BSCI行为守则和商业伙伴的专用实施条款, 且有定期对其主要供应商的社会绩效进行评估。

- 1.1 -** The auditee established the amfori BSCI document system, but the system was not implemented effectively, for example, the auditee did not conduct monitoring of environment. The auditee did not establish overtime controlling procedure and workers' overtime exceeded legal requirement and etc. The management claimed that they arranged overtime depending on delivery time of client' orders. The workers also did not know any overtime control in the factory

被审核方建立了amfori BSCI文件体系, 但该体系并未有效执行。比如未做环境的监测。被审核方没有建立加班控制程序且员工加班时间超过法规要求等。管理层申明安排员工加班取决于客户订单的交货期。员工也不知道工厂有加班的控制。

- 1.4 -** The facility established written capacity planning procedure, but the procedure did not consider the overtime limit of workers which lead to worker's overtime exceeded legal requirement in Apr. May Jun.. 2018 and etc.
企业建立了书面的产能规划程序, 但该程序没有考虑到员工的加班时间限制导致2018年04月份, 05, 06月份等员工加班时间超过法规要求。

Remarks from Auditee:

Performance Area 2 : Workers Involvement and Protection

Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A

Deadline date:31/12/2018

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

Communication channel between management and workers was established by the auditee, which including suggestion box and worker representatives. Communication meeting between worker representative and management representative was conducted periodically. The grievance mechanism also had been established and used for handling the compliance case. amfori BSCI Code of Conduct and Terms of Implementation in local language had been published at the production site. Workers were also trained on their rights during recruitment, interviewed workers knew about their right and responsibility, such as minimum wage, overtime wage and annual leave, and etc.

被审核方建立了管理层及工人的沟通渠道, 包括设置了意见箱和员工代表。员工代表和管理层代表之间定期地召开沟通会议。申诉机制已经建立并用于处理投诉案件。amfori BSCI行为准则和实施条款的当地语言版已经在车间提供阅读。工厂在工人入职时对他们进行了权利和义务的培训, 访谈的工人知道他们的权利和义务,如最低工资, 加班工资及年假等。

- 2.2 -** The auditee defined the long term goals to protect workers, such as no discrimination and etc. But workers and worker rep. were not involved in the defining long term goals.

被审核方制定了保护员工的长期目标, 如不歧视等。但员工和工人代表没有参与了确立长期目标

Remarks from Auditee:

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

Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A

Deadline date:

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

Per review of factory rules and employees' interview, it was noted that workers were granted the rights to form or to join any legal organizations in a free and democratic way, which was not interfered by the factory management. And employees would not be discriminated against because of their membership of legal organizations. Per factory management representation and employees' interview, it was noted that collective bargaining agreement was not available in the factory. However, workers could communicate with the factory management in terms of issues they concerned about such as OHS issues, working hours, wages and benefits and etc.. Further, the factory management encouraged worker representative to communicate with workers during working hours.

根据工厂的政策和员工访谈, 发现员工享有自由成立或加入合法组织的权利, 工厂没有干涉员工的这些权利。员工也不会因为加入了任何的合法组织而受到工厂不平等的待遇。根据管理层访谈和员工访谈, 工厂没有集体谈判的协议, 但是工人可以就自身关心的问题(如健康安全、工作时间、工资福利等)与管理层进行沟通, 且工厂鼓励工人和工人代表在工作时间进行沟通。

Remarks from Auditee:

Performance Area 4 : No Discrimination	
Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory made one policy on anti-discrimination. The policy defined that the factory would not discriminate workers by race, gender and ages etc. And according to interview statement with workers, workers could use the grievance system through suggestion boxes or telling to worker representatives once workers' right was infringed. Furthermore, the policy on discipline measures made by the factory was in line with legal requirement and amfori BSCI requirement.</p> <p>工厂制定了反歧视的政策, 反歧视政策中表明工厂不会因为种族, 性别, 年龄等原因对员工区别对待。并且依照员工访谈, 若员工的权利受到任何侵害, 员工可以通过意见箱或和员工代表反馈的形式进行投诉。而且, 通过查看工厂的惩戒措施程序, 其描述的措施均符合法规和amfori BSCI要求。</p>	
Remarks from Auditee:	
Performance Area 5 : Fair Remuneration	
Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: B	Deadline date:31/12/2018
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory set up wages and benefit paying system. Payrolls of 6 samples from Jul. 2017 to Jun. 2018 were reviewed randomly. The local minimum standard set at RMB1530 per month equivalent to RMB8.79 per hour (1530/21.75/8) before 1 Dec. 2017, and RMB1660 per month equivalent to RMB9.54 per hour (1660/21.75/8) after 1 Dec. 2017. Wage was calculated by monthly rate, and the minimum wage paid by factory to worker was RMB1660 per month. 150% & 200% 300% of normal rate for overtime on regular weekdays, rest days and statutory holidays respectively. The payment cycle was natural month. Wage was paid by cash before end of the following month. The pay slip was provided to workers.</p> <p>工厂制定了工资支付政策和福利政策。6名工人从2017年07月至2018年06月的工资记录被随机查阅。当地法定最低工资在2017年12月1日前为人民币1530元/月, 相当于8.79元/小时(1530/21.75/8), 在2017年12月1日后为人民币1660元/月, 相当于9.54元/小时(1660/21.75/8)。企业给工人支付的工资按月计算, 且给员工支付的最低工资为1660元/月。员工在正常日, 休息日和法定假日的加班费分别相当于正常工资的150%, 200%和300%。工资结算周期为自然月。当月工资在下一个月底以现金形式支付给工人。工资条提供给员工。</p>	
<p>5.4 - The factory did not know and calculate the living costs of the worker in the region. 工厂不了解也没有计算员工的当地生活成本。</p>	
<p>5.5 - Not all workers were provided with social insurance. There were total 42 workers in factory. 1 worker reached retired age (the workers who reached retired age could not participate in social insurance). 1 new comer in the recent one month. Social insurance payment voucher from Aug. 2017 to Jul. 2018 were provided for review. Based on social insurance payment voucher of Jul. 2018, 33 workers were not provided with endowment insurance, medical insurance, birth insurance, employment injury insurance and unemployment insurance. The 33 workers were formal workers. All workers who reached retired age and who did not participate in employment injury insurance were provided with commercial accident insurance (valid date: 31 Mar. 2018 to 30 Mar. 2019). The workers claimed that they would not like to participate the 4 types of insurance because it was difficult to transfer when they left the factory and went back to hometown. (Reference Laws: Labor Law of P.R.C, Article 72) Remark: the auditee did not collect the information of New Rural Cooperative Medical Care and New Rural Cooperative Medical Care for workers.</p> <p>不是所有员工都提供社保。审核当天厂内共有42人。其中1名员工达到退休年龄(达到退休年龄的员工按法规要求无法购买社保)。最近1个月有1名新员工。2017年08月份到2018年07月份的社保缴费凭证提供审阅。基于2018年07月份的社保缴费凭证, 33名员工没有购买养老保险, 医疗保险, 生育保险, 工伤保险和失业保险。那33名员工是固定员工。工厂给达到退休年龄和未提供工伤保险的员工提供商业意外险。有效期:2018年03月31日到2019年03月30号。员工申明他们不想参加那4种保险因为他们离开工厂回到家乡时这些保险很难转回去。(参考法规:《中华人民共和国劳动法》第72条)备注:被审核方没有收集员工的新农合和新农保的信息。</p>	
Remarks from Auditee:	

Performance Area 6 : Decent Working Hours

Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: D

Deadline date:31/12/2018

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

Factory did not provide Comprehensive Working Hours System Approval during audit. IC card recording system was used to record each IN/OUT time. Normal working time was as below: 1) For office: 08:00-11:00, 12:00-17:00. 2) For injection workshop: 08:00-11:30, 12:00-16:30. Overtime: 17:00-20:00. 3) Other department: 07:30-11:00, 11:30-16:00, overtime: 16:30-19:30. Attendance records from 1 Jul. 2017 to audit day were reviewed. The sampled recorder showed the maximum 3 hours overtime per day, 26 hours overtime per week, 113 hours overtime per month. Employees said that they did not work overtime on Sundays and statutory holidays and all sampled employees worked consecutively 6 days in maximum per week. All of them represented that they worked overtime based on their own will and they could refuse to work overtime without any punishment.

工厂审核期间没有提供综合工时批文。IC卡系统用于记录员工的上下班时间。正常上班时间为：1) 办公室：08:00-11:00, 12:00-17:00 2) 注塑车间：08:00-11:30, 12:00-16:30。加班：17:00-20:00 3) 其他部门：07:30-11:00, 11:30-16:00, 加班：16:30-19:30 企业提供了自2017年7月1日至审核当天的考勤记录供审核。所抽取样本考勤中，最大日加班时间3小时，周加班26小时，月加班113小时，员工没有在周日和法定节假日加班，抽样的员工每周最多连续工作6天。所有受访的员工表示他们的加班均是自愿的，而且他们可以拒绝加班而不会被惩罚。

- 6.2 -** The auditee did not establish overtime controlling procedure. The management claimed that they arranged overtime depended on delivery time of client' orders. The workers also did not know any overtime control in the factory. According to worker attendance records from 01 Jul. 2017 to 31 Jul. 2018, the workers monthly OT working hours exceeded 36 hours for 12 out of 13 months. By the end of the audit day (29 Aug. 2018), The maximum monthly overtime in Aug. 2018 was 101 hours. For example: All 6 samples workers in Sep. 2017 were 40-67 hours. All 6 samples workers in Dec. 2017 were 40-70 hours. All 6 samples workers in Jul. 2018 were 45-113 hours. (Reference law: PRC Labor Law article 41).

被审核方没有建立加班控制程序。管理层申明安排员工加班取决于客户订单的交货期。员工也不知道工厂有加班的控制。根据工人的2017年07月01日至2018年07月31日的考勤，工人所有13个月中12个月的月加班超出36小时要求。截止至审核当天(2018年08月29号)，2018年08月的最大月加班时间为101小时。例如：抽取的所有6名样本员工在2017年09月加班时间为40-67小时。抽取的所有6名样本员工在2017年12月加班时间为40-70小时。抽取的所有6名样本员工在2018年07月加班时间为45-113小时。小时。参考法律法规：《中华人民共和国劳动法》第41条

Remarks from Auditee:

Performance Area 7 : Occupational Health and Safety

Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A

Deadline date:31/12/2018

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

During plant tour, document review and worker interview, training records on personal protective equipment usage were reviewed. Electricity was controlled and inspected monthly. Assessment Management Procedure and Risk Assessment Form were reviewed. Sufficient firefighting equipment such as fire extinguishers were installed and inspected monthly. Evacuation routes were not blocked and evacuation plans were posted at each floor. Emergency lights and exit signs were installed properly and inspected monthly. Machine operation procedure was posted in the workshop. As per facility management confirmation and interview with employees, there was no pregnant employee existed in past one year. Health and safety training was documented. Work-related Injury Record Sheet and Work-related Injury Research Report were reviewed but no work-related injury happened in the past one year. Canteen, dormitory or transportation was not provided to workers.

通过现场走访、文件审核以及员工访谈, 如何使用劳动防护用品的培训记录提供审阅。电气线路日常有维护, 每月进行检查。健康与安全风险识别与评估程序以及风险评估记录已提供审核。足够的消防设施如灭火器已安装并每月进行检查。逃生路线未被堵塞、疏散图张贴在生产场所中。已安装应急灯与安全出口标识, 并每月进行检查。机器操作规程张贴于生产现场。根据企业管理人员确认以及员工访谈, 在过去一年内企业无怀孕员工, 健康安全培训均已记录。工伤记录以及工伤调查报告显示过去一年内无员工发生工伤。工厂没有提供食堂、宿舍和交通工具给员工。

- 7.1 - 1) Factory did not provide occupational health examination to workers who contacted occupational hazards. E.g.: silk screen printing workers were exposed to chemical and material crushing workers were exposed to big noise. Reference law: Law of the People's Republic of China on Prevention and Control of Occupational Diseases, Article 35 2) Factory did not conduct occupational disease hazardous element inspection (there was obvious noise near material operation site and chemical smell in silk screen printing workshop). Reference law: Workplace Occupational Health Monitoring Administration Regulation, article 20

1) 工厂没有提供职业健康体检给接触危害因素员工。如: 接触化学品的丝印员工和接触噪音的碎料员工。参考法规: 中华人民共和国职业病防治法, 第三十五条 2) 工厂未做职业病危害因素检测 (碎料车间存在明显噪音, 丝印刷车间存在化学品气味)。参考法规: 工作场所职业卫生监督管理规定, 第20条

- 7.7 - No MSDS was available near painting storage. Reference Regulation: Regulation for Chemical Usage Safety in Work Place, Article 27.

油墨存放区没有MSDS。参考法规: 工作场所安全使用化学品规定, 第27条。

- 7.11 - During audit, factory did not provide Construction Structure Acceptance Certificate and Fire Safety Inspection Certificate for one factory buildings (factory claimed that, one 1-storey factory building which building area was about 1000m²; the auditee did not know when the building was built due to they rented it). Reference law: Fire Prevention Law of the People's Republic of China, Article 11; Construction Law of the People's Republic of China, Article 61

工厂审核期间没有提供1栋厂房的建筑工程竣工验收报告和消防验收证明 (工厂申明, 1栋1层厂房, 建筑面积约为1000平米; 他们不知道建筑年份因为他们是租的)。参考法规: 《中华人民共和国消防法》第十一条, 中华人民共和国建筑法, 第61条

- 7.16 - The evacuation plan on 1st floor of assembly workshop did not comply with actual situation. 1楼组装车间的疏散示意图与实际不符。

- 7.17 - 1) Handrails were not installed for all ladders (about 1.4 meter) which raise height exceeded 500mm in injection workshop. Reference law: Machinery Safety: Fixed installations of entering machine and industrial facility Part 3: Staircase, ladder and handrail (GB17888.3-2008), article 7.2.2 2) One crane (>3 tons) was not inspected by department of special equipment safety supervision. (Laws and Regulations: Regulations on Safety Supervision over Special Equipment, Article 28)

1) 注塑车间所有上升高度超过500mm (约1.4米) 的楼梯没有安装扶手。参考法规: 机械安全: 进入机器和工业设备的固定设施第3部分: 楼梯、阶梯和护栏 (GB17888.3-2008), 第7.2.2条 2) 一台行车 (大于3吨) 没有被特种设备安全监督管理部门检验。参考法律法规: 《特种设备安全监察条例》第28条

- 7.22 - No gender mark or private door was available for toilet near injection workshop. 注塑车间旁的洗手间没有隐私门和性别标识

Remarks from Auditee:

Performance Area 8 : No Child Labour

Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A

Deadline date:

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

Policy of prohibiting using child labour and the saving child labour policy had been established in the factory and known by the management. The definition of child labour in the china laws and the international convention were known by the HR staff. Based on the cross checking, no child labour was found in the factory. The youngest worker in the factory was born on 23 Feb., 2000 and joined the factory on 16 Jun. 2018. No historical child labour was found in the factory.

工厂制定了禁止使用童工以及童工补救的程序, 管理人员了解该政策, 并且人事部门了解中国法律以及国际公约对童工的定义。经过交叉验证, 审核中未发现童工。目前最小的员工于2000年2月23日出生, 在2018年6月16日进入工厂。没有发现历史童工。

Remarks from Auditee:

Performance Area 9 : Special protection for young workers	
Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The policy of young worker protection was made by the factory. The factory understood the legal requirement of young workers according to interview with management. And the risk assessment procedure of young workers was conducted as per the requirement of amfori BSCI.</p> <p>工厂制定了未成年工的保护政策, 工厂了解如何依照法规要求保护未成年工。工厂按照amfori BSCI要求来进行其未成年工的风险评估。</p>	
Remarks from Auditee:	
Performance Area 10 : No Precarious Employment	
Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The auditee established recruitment principles refers to amfori BSCI Code of Conduct and local law. The recruitment principles are including but not limited to recruitment process, remuneration, hours of work, disciplinary measure, promotion, training, termination of employment etc. No dispatched workers, seasonal workers, migrant workers, summer job workers, apprentice workers and casual workers hired by auditee. All the employees are permanent workers and the labor contracts were provided for review. The labor contracts had included working hours, wages, leave entitlements, benefits, what fees the worker will be charged and the amount(s), other benefits provided (pension, insurances, etc.), wage deductions and etc.</p> <p>被审核方依据amfori BSCI行为守则和当地的法律法规制定的招聘原则, 招聘原则包括但不限于招聘流程、报酬、工作时间、纪律措施、晋升、培训、离职等。被审核方没有雇佣派遣工、季节工、外劳、暑期工以及临时工, 所有的雇员都是长期的合同工且在审核期间有提供劳动合同供查阅。劳动合同内容包括了, 工作时间, 工资, 休假权利, 福利, 那些费用需要支付, 其他提供的福利(津贴保险等)和工资中的代扣减项等。</p>	
Remarks from Auditee:	
Performance Area 11 : No Bonded Labour	
Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>Written procedure related prohibiting of forced labour was established in the factory and communicated with all the management and the workshop directors. The workers were not required to lodge the original documents or deposit when they were employed. The clause of preventing the workers to leave the factory freely was not mentioned in the labour contracts. The management was forbidden to abuse, use corporal punishment and sexual harassment when the workers were punished. No any prison labour was used in the factory.</p> <p>工厂制定了禁止强迫劳动的程序, 并将此程序传达给所有的管理层以及车间的管理人员。工厂禁止在招聘新员工时扣押员工的证件或者缴纳押金并且不会在签订劳动合同时设定不利于员工自由离职的条款。管理人员禁止辱骂、体罚、性骚扰员工, 通过与员工和代表的访谈, 没有发生此类情况。工厂未使用任何形式的囚工。</p>	
Remarks from Auditee:	
Performance Area 12 : Protection of the Environment	
Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: C	Deadline date:31/12/2018
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The auditee had identified and documented the significant environmental impact list of their site and its processes. No industry waste water was generated during the production process. Living waste water had been discharged to the local municipal pipeline. The facility established the relevant procedure to protect environment and save energy such as electricity, water source and etc. Remark: It was not applicable for the auditee to obtain waste discharge permit.</p> <p>被审核方对现场和过程的重要环境因素清单进行了识别和记录。在生产过程未产生工业废水。生活污水经由当地市政管道进行排放。企业制定了关于保护环境、节约资源的相关程序, 比如电能、水资源等的相关制度。备注:企业不需要获得排污许可证。</p>	
<p>12.1 - The EIA report did not include injection process. Factory did not renew the environmental impact appraisal documents of the construction project for examination and approval. Reference law: Laws and Regulations: Environmental Impact Assessment Law of P.R.C (2003), Article 24</p> <p>环评报告里没有包括注塑工序。但工厂没有更新建设项目的环评评价文件。参考法规: 中华人民共和国环境影响评价法 (2003) 第二十四条</p>	
<p>12.4 - 1) Factory did not conduct test of industrial enterprises noise at boundary. Reference law: Emission standard for industrial enterprises noise at boundary GB12348-2008, article 4.1.1 2) Factory did not conduct detection report for waste gas caused by injection process. Reference law: Prevention and Control of Atmospheric Pollution Law of P.R.C, Article 18)</p> <p>1) 工厂没有提供厂界噪音的监测报告。参考法规: 工业企业厂界环境噪声排放标准 GB12348-2008, 第4.1.1条 2) 工厂没有提供注塑排出的废气检测报告。(参考法律法规:《中华人民共和国大气污染防治法》第18条)</p>	
Remarks from Auditee:	

Performance Area 13 : Ethical Business Behaviour	
Full Audit [Audit Id - 131359] Audit Date: 29/08/2018 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: The auditee provided correct data and information during this audit. The auditee also established grievance mechanism for workers to report unethical behaviors, and proper investigation will follow. The disclosure of information indicated that all documents/records (business licenses, personnel files, time records, payroll records, etc.) were required accurately and no falsifying information was permitted in their supply chain. 被审核方提供了准确的记录和信息。被审核方也建立了适当的投诉机制以便工人举报不道德的行为，并会随之就不道德的行为进行调查。信息公开政策更指出所有的文件包括营业执照、个人资料、工作时间记录，工资记录等都要求要准确且在其供应链中虚假信息也是不被允许的。	
Remarks from Auditee:	

Summary



Audit Type	Date	Audit Id	PA1	PA2	PA3	PA4	PA5	PA6	PA7	PA8	PA9	PA10	PA11	PA12	PA13	Overall Rating
Full Audit	29/08/2018	131359	D	A	A	A	B	D	A	A	A	A	A	C	A	C

Producer Photos



External photo(s) of the production unit(s)
1-1 Factory gate.JPG



Photo of fire safety equipment
4-3 Fire hydrant.JPG



Photo of the personal protection equipments (if applicable)
11-1 PPE reminder.JPG



External photo(s) of the production unit(s)
1-2 Factory compound.JPG



Photo of fire safety equipment
4-4 Exit sign.JPG



Photo of the sanitary facilities
13-1 Drinking water.JPG



External photo(s) of the production unit(s)
1-3 Factory compound.JPG



Photo of fire safety equipment
4-5 Test of fire hydrant.JPG



Photo of the sanitary facilities
13-2 Toilet.JPG



External photo(s) of the production unit(s)
1-4 address nameplate.JPG



Photo of the code of conduct on display
7-1 Photo of amfori COC on Display.JPG

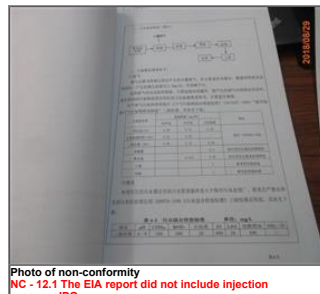


Photo of non-conformity
NC - 12.1 The EIA report did not include injection process.JPG



External photo(s) of the production unit(s)
1-5 factory name.JPG



Photo of the inside of the main production hall
9-1 Injection process.JPG

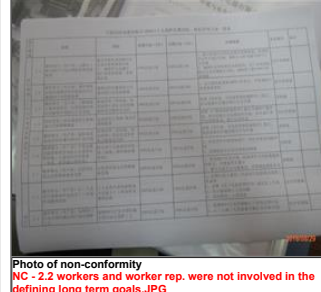


Photo of non-conformity
NC - 2.2 workers and worker rep. were not involved in the defining long term goals.JPG



External photo(s) of the production unit(s)
1-6 other enterprise in same boundary wall.JPG



Photo of the inside of the main production hall
9-2 assembly and packing process.JPG



Photo of non-conformity
NC - 5.5 Not all workers were provided with social insurance.JPG



External photo(s) of the production unit(s)
1-7 other enterprise in same boundary wall.JPG



Photo of the inside of the main production hall
9-3 workshop.JPG



Photo of non-conformity
NC - 7.16 The evacuation plan on 1st floor of assembly workshop did not comply with actual situation.JPG



Photo first aid facilities
2-1 First aid kit.JPG



Photo of the inside of the main production hall
9-4 Electronic attendance machine.JPG



Photo of non-conformity
NC - 7.17 Handrails were not installed for ladders.JPG



Photo first aid facilities
2-2 Eye washing equipment .JPG



Photo of the inside of the main production hall
9-5 Evacuation plan.JPG

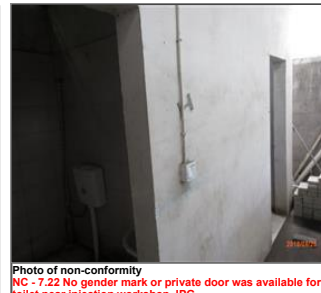


Photo of non-conformity
NC - 7.22 No gender mark or private door was available for toilet near injection workshop.JPG



Photo of fire safety equipment
4-1 Fire extinguisher.JPG



Photo of the inside of the main production hall
9-6 Suggestion box.JPG



Photo of non-conformity
NC - 7.7 No MSDS was available near painting storage.JPG



Photo of fire safety equipment
4-2 Fire alarm.JPG



Photo of the inside of the main production hall
9-7 Warning sign.JPG