
Auditee :	Liveon Industrial Co., Ltd.
Audit Date From :	19/07/2019
Audit Date To :	19/07/2019
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 Wu(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: A B B B A A A A A A A B 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.
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: 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.
C Acceptable	<ul style="list-style-type: none"> Maximum 2 Performance Areas rated D No Performance Areas rated E These are three examples: A A A A A A A A C C C C A A A A A B B B C C C D 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.
D Insufficient	<ul style="list-style-type: none"> Maximum 6 Performance Areas rated E These are three examples: 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	The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days.
E Unacceptable	<ul style="list-style-type: none"> Minimum 7 Performance Areas rated E These are three examples: 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	amfori BSCI Participants shall closely oversee the auditee's progress as the producer may represent a higher risk than other business partners.
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 :	Liveon Industrial Co., Ltd.		
DBID number :	12411		
Audit ID :	157533		
Address :	No.46, Yudong Six Road,the 4th Industrial Zone, Estate, Yangdong District Yangjiang		
Province :	Guangdong	Country :	China
Management Representative :	Feiliang WANG		
Contact person:	Feiliang WANG	Sector :	Non-Food
Industry Type :	Construction	Product group :	Kitchen merchandise
Product Type :	kitchen knives and metal kitchen utensils		

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 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 : 19/07/2020	

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

The auditee was located at No.46, Yudong Six Road,the 4th Industrial Zone, Estate, Yangdong District, Yangjiang City, Guangdong Province, China (中国广东省阳江市阳东区工业四区裕东六路46号). No any other factory or company in the auditee boundary. All buildings in the boundary were owned by the auditee. There were one 5-storey building used as office, one 4-storey building used as sample room and R&D center, one 3-storey and two 4-storey buildings used as production and warehouse which covered around 6,500 square meters, one 4-storey building used as dormitory, kitchen and canteen which covered around 1,800 square meters. The auditee mainly manufactured kitchen knives and metal kitchen utensils. During the factory tour, the main production processes were assembly and packing. No subcontracted process or service was used in the auditee. No obvious peak season or low season for production. There were total 125 employees during this audit. The factory management was cooperative with this audit and gave full access to auditor for factory tour, document review and worker interview. And the factory management promised to correct all findings.

Remark:

- 1) The auditee's official regular working time was 7.5 hours as 08:30-12:00, 14:00-18:00. For adequate 8 hours' audit one day, auditor conducted document review for 0.5 hour from 12:00 to 12:30 after communicated with factory managements.
- 2) No contractor, agency, government waiver and collective bargaining used by the auditee, the following documents were not attached to the report as not applicable for the factory: Contractor license/permit, Agency labour contract, Government waivers, Collective bargaining agreements, in addition no environmental license was attached as PA12 was not covered in this follow up audit.
- 3) APSCA Registration Number of auditor: 21701844

Ratings Summary



Auditee's background information			
Auditee's name :	Liveon Industrial Co., Ltd.	Legal status :	Limited Company
Local Name :	广东力王厨房用品有限公司 (914417237314728028)	Year in which the auditee was founded :	2001
Address :	No.46, Yudong Six Road,the 4th Industrial Zone, Estate, Yangdong District	Contact person (please select) :	Feiliang WANG
Province :	Guangdong	Contact's Email :	feiliang@liveon.cn
City :	Yangjiang	Auditee's official language(s) for written communications :	Chinese
Region :	North East Asia	Other relevant languages for the auditee :	English
Country :	China	Website of auditee (if applicable) :	www.liveonkitchen.com
GPS coordinates :	E112°1.44' and N21°53.33'	Total turnover (in Euros) :	15000000.00
Sector :	Non-Food	Of which exports % :	100.00
Industry :	Construction	Of which domestic market % :	0.00
If other, please specify :		Production volume :	3600000 sets per year
Product Group :	Kitchen merchandise	Production cost calculation :	Yes
If other, please specify :		Lost time injury calculation cost :	No
Product Type :	kitchen knives and metal kitchen utensils		

Auditee's employment structure at the time of the audit		
Total number of workers :	125	Total number of workers in the production unit to be monitored (if applicable) :
		0
	MALE WORKERS	FEMALE WORKERS
Permanent workers	60	65
Temporary workers	0	0
In management positions	5	6
Apprentices	0	0
On probation	0	2
With disabilities	0	0
Migrants (national citizens)	30	35
Migrants (foreign citizens)	0	0
Workers on the permanent payroll	60	65
Production based workers	0	0
With shifts at night	2	0
Unionised	0	0
Pregnant	-	0
On maternity leave	-	2

Finding Report



Performance Area 1 : Social Management System and Cascade Effect

1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: D

Deadline date:31/12/2019

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The factory set up policy and procedure on social accountability. For example, the procedures on hiring, working hours, wages and benefits, dealing with grievances, training workers, anti-corruption were established by the factory. Of course, Feiliang Wang /Admin. Director was amfori BSCI representative and took whole charge of amfori BSCI affairs in the factory. The factory conducted the internal audit on 12 June 2019 and management review on 19 June 2019. The factory also established policy with respect to the selection, management and monitoring of its own significant business partners. The factory established workforce planning and cost accounting procedure. However, gaps had been identified in implementation:

工厂建立了社会责任政策和程序, 例如程序中包括招聘, 工作时间, 工资福利, 申诉系统, 员工培训, 反腐败等内容。王飞良/行政总监被工厂指定为 amfori BSCI 负责人, 统筹整个工厂的 amfori BSCI 事务。工厂于 2019 年 6 月 12 号进行了内审和 2019 年 6 月 19 号进行了管理评审。工厂还创建了重要合作伙伴的筛选、管理和监控程序。工厂建立了产能规划和成本核算程序。然而, 发现被审核方在实施中仍存在与该章节要求之间的差距。

1.1 - Per documents review, onsite observation, management and workers interview, it was noted that the factory had set up management policies and procedures to implement amfori BSCI Code of Conduct, but there were gaps between their operation and amfori BSCI COC or legal requirement, such as did not provide social insurance for all employees and failed to effectively control workers' working hours led to workers' monthly overtime work exceeded 36 hours, detail refer to findings on PA1, PA5, PA6, PA7 and PA13 etc.

通过文件审核, 现场审核, 管理层和工人访谈, 工厂已建立了实施 amfori BSCI 行为守则的管理制度和政策, 但是工厂在实际操作与 amfori BSCI 行为守则和法律要求之间仍存在差距, 比如工厂没有为所有员工提供社保, 工厂没有有效的控制工人的工作时间以至于工人的月加班工作有超过 36 小时, 具体查看执行领域 PA1, PA5, PA6, PA7 和 PA13 等中的问题点。

1.4 - The factory established capacity and cost management procedure, but the factory did not have a good capacity planning as monthly OT from July 2018 to June 2019 exceeded legal requirement all through identified in PA6.2.

工厂有建立产能和成本的管理程序, 但工厂没有一个完善的产能计划导致在 PA6.2 有发现在 2018 年 7 月到 2019 年 6 月期间一直都有月加班超出法律要求。

Remarks from Auditee:

Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: D

Deadline date:29/07/2019

Good practices

Areas of improvement

The factory had already set up the management manual of social compliance. The factory had already established completed management system including plan-do-check-action cycle, and conducted internal audit and management review on social compliance management system in June 2018. Ms. Feiliang Wang / Admin. Director was appointed to be the amfori BSCI management representative to take whole charge of amfori BSCI affairs in the factory. Information regarding amfori BSCI issues was shared between management and workers periodically. The factory had already established supplier management procedure, and monitored its business partners' social performance and passed amfori BSCI CoC or ToI to its business partners. The factory provided the supplier list, and it was noted that three sampled suppliers had already been conducted amfori BSCI audit in 2018. The amfori BSCI Code of Conduct and poster was posted in the factory. The factory signed the amfori BSCI COC and TOI before audit. However, gaps had still been identified in implementation:

工厂已建立社会责任管理手册。工厂已建立完整的社会责任管理系统, 其中也包括计划-执行-检查-改善循环, 并在 2018 年 6 月进行了内审和管理评审来监督社会责任管理体系的运行。王飞良女士/行政总监已被任命为 amfori BSCI 管理者代表来统筹整个工厂的社会责任事务。工厂涉及 amfori BSCI 事项的交流已在管理层与工人之间定期进行。工厂已建立供应商管理程序, 监控了商业伙伴的社会责任的表现, 并将 amfori BSCI 行为守则和商业伙伴专用实施条款传递给其商业伙伴。工厂提供了一份供应商清单并发现随机抽选的三家供应商已在 2018 年进行过 amfori BSCI 审核。工厂已张贴 amfori BSCI 行为守则和海报。工厂已在审核前签署 amfori BSCI 行为守则和生产商专用实施条款。但是, 在实践中仍然存在一些偏差:

1.1 - The factory had already established related procedure to comply with the requirement of amfori BSCI Code of Conduct, such as working hour management procedure, benefits management procedure, OHS management procedure and the factory conducted the internal audit & management review of CSR management system in June 2018. The workers stated that the amfori BSCI Code of Conduct and poster, CSR policy and procedures were posted and communicated to workers. However, the findings were still found in PA1/5/6/7/13, and there was systematic fault during implementation on the overtime working hours. The factory did not establish systematic program to monitor total working hours, and the monthly overtime hours exceeded 36 hours from July 2017 to July 2018. The factory explained that they knew the requirements of amfori BSCI Code of Conduct and local laws, and would take action to meet the requirements. As for production capacity and overtime working hour issues, the factory explained that production capacity was based on order condition, human resource and equipment, and it was very difficult to control monthly overtime within 36 hours.

为满足 amfori BSCI 行为守则要求, 工厂已建立相关的程序, 如工时管理程序、福利管理程序、职业健康安全程序, 并于 2018 年 6 月进行了社会责任管理体系的内部审核和管理评审。工人陈述工厂已张贴并沟通 amfori BSCI 行为守则和海报、社会责任政策和文件。但是, 在 PA1/5/6/7/13 仍有发现问题, 并且工厂在实施中关于加班工作时间存有系统性缺失。工厂未建立监控整个工作时间的系统性机制, 2017 年 7 月至 2018 年 7 月的月加班有超 36 小时。工厂解释其已清楚 amfori BSCI 行为守则和当地法律法规的要求, 并将采取措施以符合要求。至于生产能力和加班时间事宜, 工厂解释产能是基于订单、人力资源、设备等情况来确定的, 但是控制月加班在 36 小时以内是比较困难的。

1.4 - The factory had already established capacity planning procedure and provided the production planning, but it was still not too efficient. Through management interview and reviewing working hour records from July 2017 to July 2018 it was noted that the factory did not establish this system to control excessive overtime and so it caused monthly overtime exceeded law requirement.

工厂已建立产能规划程序和提供了生产计划, 但是它未有足够有效。通过管理访谈和查阅 2017 年 7 月至 2018 年 7 月的工时记录发现工厂未有建立一个系统用于控制额外的加班, 导致月加班时间超过法律规定。

Remarks from Auditee

Performance Area 2 : Workers Involvement and Protection	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: This follow up audit did not cover the area of this section. 本次跟进审核未覆盖这个章节的内容。	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The management exchanged information on workplace-related issues with workers and their representatives regularly, and the latest communication was conducted on 5 July 2018. The factory provided the training of amfori BSCI Code of Conduct to all employees on 10 July 2018. The interviewed workers were clear about amfori BSCI Code of Conduct, and had a good understanding of the legal rights and duties under labour legislation. The amfori BSCI Code of Conduct and poster (Chinese edition) was posted in the notice board, and all employees could access it. The grievance mechanism was established in the factory, and workers could raise their grievance through worker representatives, suggestion box or management directly. Two suggestion boxes were installed in the factory area. No grievance case was reported in past one year. The factory provided the regular survey records on the written procedure for the grievance mechanism. The factory defined the long-term goals to protect workers according to the amfori BSCI values and principles and its amfori BSCI performance.</p> <p>工厂管理层已就与工人切身有关的事宜与工人及工人代表进行沟通或交换信息,最近一次的沟通发生在2018年7月5日。工厂在2018年7月10日向所有员工提供了amfori BSCI行为守则的培训。访谈的工人表示清楚amfori BSCI行为守则,了解他们在劳工法律法规下的合法权利和义务。工厂在公告栏张贴了amfori BSCI行为守则和海报(中文版),所有员工均可以查阅。工厂已建立申诉机制,工人可通过工人代表、意见箱、或直接和管理层发起申诉。工厂在厂区设置了2个意见箱。过去一年未有报告的申诉事件。工厂已提供关于申诉机制程序的定期评审记录。工厂已根据amfori BSCI价值和原则和其amfori BSCI表现去定义保护员工的长期目标。</p>	
Remarks from Auditee	
Performance Area 3 : The rights of Freedom of Association and Collective Bargaining	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: This follow up audit did not cover the area of this section. 本次跟进审核未覆盖这个章节的内容。	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory respected the right of workers to form unions in a free and democratic way and workers' to bargain collectively. The trade union was not available in the factory. Two worker representatives were elected on 30 March 2018. According to worker interview and provided procedures and records, worker representatives were elected by workers without any interference from factory management. Worker representatives were allowed to carry out the duties within working hours without losing pay or other negative repercussions. No discriminate against the worker representative. There were quarterly communication meetings between the worker representatives and the management.</p> <p>工厂尊重工人以自由和民主的方式结社的权利和工人的集体谈判权。工厂未有工会。在2018年3月30日选举了2位工人代表。根据工人访谈、程序文件及记录显示,工人代表由工人自由选举而不受管理层干涉。工人代表可以在工作时间行使其职责而不会被克扣工资或者受到任何负面影响。无歧视对待工人代表。工人代表和管理层之间已有定期的季度沟通会议。</p>	
Remarks from Auditee	

Performance Area 4 : No Discrimination	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>This follow up audit did not cover the area of this section. 本次跟进审核未覆盖这个章节的内容。</p>	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory had already established the prevent discrimination management procedure, and trained to all workers and management. The employees came from different provinces. Though worker interview it was noted that there was no discrimination about religion, origin, political affiliation or age when recruiting process and working process. Workers regularly received training to prevent discrimination of different forms. 工厂建立了预防歧视管理程序, 并给所有工人和管理人员进行了培训。员工来自于各个省份。通过工人访谈确认在招聘和工作过程中, 无宗教、血缘、政治或年龄等歧视。工人定期接受培训以防止不同形式的歧视。</p>	
<u>Remarks from Auditee</u>	

Performance Area 5 : Fair Remuneration

1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A Deadline date:31/12/2019

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The auditee established compensation policy according to local legal requirement. The local legal minimum wage document was collected. Legal minimum wage is RMB1410/month (equal to RMB8.1/hour) since 1 July 2018 and RMB1210/month (equal to RMB6.95/hour) before 1 July 2018. Payrolls from July 2018 to May 2019 were provided and 8 samples were randomly selected for review. For assembly and packing workers, wages were calculated by hourly rate and the lowest basic wage of was RMB8.63 per hour (equal to RMB1500 per month). For warehouse workers, QC workers and office employees etc., wages were calculated by monthly rate and the lowest basic wage of was RMB1700 per month, which exceeded Legal minimum wage. 150%, 200%, 300% of normal rate would be compensated for overtime on normal working days, rest days and statutory holidays. The wage was paid by cash on the 30th of following month. Paid statutory holiday, annual leave, sick leave, marriage leave, maternity leave and funeral leave were defined and provided to workers. Pay slip was provided. No illegal deduction was deducted from workers' wage. Per document review, auditor calculated local basic need wage was RMB1602.19per month, the factory paid at least RMB3099.31 per month in the wage of May 2019 to exceed the fair remuneration. However, gaps have been identified in implementation.

被审核方根据法律要求建立了工资福利政策, 收集了当地法定最低工资文件。当地最低工资自2018年7月1日起, 为人民币1410每月 (8.1每小时), 2018年7月1日之前为人民币1210每月 (6.95每小时)。2018年7月至2019年5月的工资表已提供审核, 并抽样查看了8名员工的工资。对于装配包装工人, 工资按照小时计算, 最低基本工资为每小时8.63元 (等同于每月1500元), 对于仓库工人, 品质工人和办公室员工等, 工资按月计算, 最低基本工资为每月1700元, 超过法定最低工资, 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。下月30号以现金形式支付当月工资给员工。工厂规定并提供了有薪法定节假日、年假、病假、婚假、产假和丧假给员工。工资条提供给了工人。没有任何不当的扣款发生。根据文件审核, 审核员计算的当地基本需求工资为每月人民币1602.19元, 工厂在2019年5月工资支付至少每月人民币3099.31元已超过基本需求工资。然而, 发现被审核方在实施中仍存在与该章节要求之间的差距。

- 5.5 - Per social insurance records in the past 12 months, there were 125 employees in factory, but the factory did not provide social insurance including injury insurance to 42 employees, medical insurance to 55 employees and retirement, maternity and unemployment insurance to 56 employees. Per factory management and employees interview, employees could join the social insurance voluntarily. The employees not provided social insurance were non-fixed term contract employees, no casual workers or retired rehired workers etc. No worker participated in new rural cooperative medical scheme or new rural insurance. Reference Law: Labor Law of the People Republic of China, Article 72&73. Remark: The factory provided commercial group accident insurance to the employees including not provided injury insurance. Contract was signed with PING AN ANNUITY INSURANCE COMPANY OF CHINA, LTD. and valid from 8 March 2019 to 7 March 2020 (32 employees) and 26 May 2019 to 25 May 2020 (27 employees)

根据过去12个月的社保记录, 工厂现有125名员工, 但有42名员工没有提供工伤保险, 55名员工没有提供医疗保险, 56名员工没有提供养老、生育和失业保险的社保。根据工厂管理层和工人访谈, 工人自愿参加社保, 没有提供社保的员工都是非固定期限合同工, 没有临时工或退休返聘工人等。没有工人参加新农合或新农保, 参考法律法规: 中华人民共和国劳动法第72和73条。备注: 工厂有为没有提供工伤保险在内的员工提供了团体商业意外险。和平安养老保险股份有限公司签订合同, 有效期从2019年3月8日到2020年3月7号 (32人) 和2019年5月26号到2020年5月25号 (27人)。

Remarks from Auditee:

Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: B Deadline date:29/07/2019

Good practices

The factory provided BNW information based on the local realities in self-assessment sheet before the audit.

Areas of improvement

The factory had already established wages and benefit management policy and procedure. The payrolls from July 2017 to June 2018 were provided, and payrolls of 16 workers from different departments were randomly selected for review. The calculation period of wages was natural month, and workers' wages were paid on or before 30th of each month for previous month in cash. For assembling and packing workers, wages were calculated by hourly rate and the lowest basic wage of sampled workers was RMB8.63 per hour (equal to RMB1500 per month), and this was higher than the local minimum wage requirement (RMB1210 per month (equal to RMB6.95 per hour) since 1 May 2015), and the factory also provided the full-attendance bonus (RMB30 per month) to workers. For other employees, wages were calculated by monthly rate and the lowest basic wage of sampled workers was RMB1700 per month, and this was higher than the local minimum wage requirement. No any deduction from wages was found except personal part of social insurance and income tax. Wages were issued timely and sufficiently. Pay slips were provided to workers on the date of wages issue date so that workers could understand the composition of their wages. Paid annual leave, statutory holiday, sick leave, marriage leave, maternity leave and funeral leave were defined and provided to workers. The factory provided the same pay for male/female employees in the same workstation, and all employees were treated equally. The factory collected the figure of living cost of its region to identify the possible gap and potential action to fill the gap. The local minimum wage was changed to RMB1410 per month since 1 July 2018. It was also cross verified during worker interview. However, gaps had still been identified in implementation:

工厂已建立工资和福利管理政策和程序。2017年7月至2018年6月的工资表已提供, 并抽取了16名来自不同部门的工人的工资表进行了查阅。计算周期为自然月, 工厂会在每月30日前或者当天以现金形式支付上月的工资。对于装配包装工人, 工资按照小时计算, 抽样工人的最低基本工资为每小时8.63元 (等同于每月1500元), 高于当地最低工资要求 (自2015年5月1日之后是每月1210元 (等同于每小时6.95元)), 工厂也向工人提供了全勤奖 (每月30元); 对于其它工人, 工资按月计算, 抽样工人的最低基本工资为每月1700元, 高于当地最低工资要求。除了社会保险的个人部分和个人所得税未有扣款被发现。工资准时、足额发放。发工资当日, 工资条提供给了工人, 以使工人明白其工资构成。工厂规定并提供了有薪年假、法定节假日、病假、婚假、产假和丧假给员工。工厂对男/女员工在相同岗位提供相同的报酬, 所有员工均公平对待。工厂收了集当地的基本需求工资, 从而发现与其实际支付工资的差距, 并致力于提供能满足员工基本生活需求的工资。当地最低工资标准自2018年7月1日调整为每月1410元。在工人访谈中对上述事实进行了交叉验证。但是, 在实践中仍然存在一些偏差:

- 5.5 - The factory did not provide social insurance for all employees through management interview, worker interview and social insurance records' (August 2017 to July 2018) review. For example, in July 2018, the factory had 117 employees, but did not provide employment injury insurance to 27 employees, not provide medical insurance to 44 employees, not provide the endowment insurance, unemployment insurance or maternity insurance to 45 employees. Through worker interview it was noted that part workers did not like to participate social insurance because they would go hometown a few years later but the social insurance was difficult to transfer. Through management interview it was noted that the factory would purchase the social insurance if employee wanted. The factory had four new workers and one retired worker, but did not have any dispatching worker, temporary worker or student worker. Remark: The factory provided the one year's (from 8 March 2018 to 7 March 2019) commercial accident insurance for 27 employees who did not joined employment injury insurance from PING AN ANNUITY INSURANCE COMPANY OF

CHINA, LTD.. (Refer to PRC Labor Law, Article 72)

通过管理访谈、工人访谈和社会保险记录(2017年8月至2018年7月)查阅发现工厂未为所有员工提供社会保险。例如,在2018年7月工厂117名员工中27名未有购买工伤保险,44名未有购买医疗保险,45名未有购买养老保险、失业保险和生育保险。通过工人访谈发现部分工人不愿意参加社保,因为几年以后他们将会回去老家,但社保很难转回老家。通过管理访谈发现只要工人愿意,工厂会为员工参保。工厂有4名新工人和1名退休返聘工人,但未有派遣工、临时工或学生工。备注:工厂为未有参加工伤保险的27名员工购买了平安养老保险股份有限公司有效期一年(2018年3月8日至2019年3月7日)的商业意外保险。参考《中华人民共和国劳动法》第72条。

Remarks from Auditee

Performance Area 6 : Decent Working Hours

1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: D

Deadline date:31/12/2019

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The factory established working hour policy according to local legal requirement. Fingerprinting attendance machine was used to record workers' working time. Time records from July 2018 to audit date were provided (Time records of July 2018 were only provided for cross checking with payroll records of July 2018 which not paid in previous full audit in 31 July to 1 August 2018 yet) and 8 samples were randomly selected for review. There were three shifts for security guard: 08:00-16:00, 16:00-24:00 and 00:00-08:00. One shift was arranged for kitchen staff: 08:30-12:30 & 15:00-19:00. There was only one shift for workers of assembling, packing, warehouse and QC departments, and normal working hour was 08:00-12:00 & 14:00-18:00, and the overtime was arranged for 2 hours (19:00-21:00) on normal working day and 8 hours on Saturdays. There was also only one shift for other office employees, and normal working hour was changed to 08:30-12:00 & 14:00-18:00, and the overtime was arranged for 3.5 hours (08:30-12:00) on Saturdays. Maximum overtime 2 hours per day and 18 hours per week, at least 1 day off after 6 days consecutive working days was guaranteed. During the worker interview, workers confirmed that they worked overtime voluntarily. No OT was arranged at statutory holiday during the period this audit covered. However, gaps have been identified in implementation.

工厂根据法律要求建立了工作时间的政策。指纹考勤机用来记录员工的工作时间，2018年7月至审核日的考勤已提供（2018年7月考勤仅为了和上次2018年7月31号-8月1号审核时还没有发放的2018年7月的工资进行交叉检查），并抽样了8名员工的考勤。保安实行三班制：08:00-16:00,16:00-24:00和00:00-08:00。厨工实行一班制：08:30-12:30, 15:00-19:00。装配包装、仓库和品质部门的员工均为一班制，正常工作时间为08:00-12:00, 14:00-18:00, 正常工作日有时加班2小时（19:00-21:00），周六加班8小时。其他办公室员工也为一班制，正常工作时间为08:30-12:00, 14:00-18:00, 周六加班3.5小时（08:30-12:00）。每天最大加班2小时，每周最大加班18小时，连续工作六天后至少有一天休息。员工访谈确认，加班自愿。在审核覆盖期间段，没有在假日加班的情况。然而，发现工厂在实施中仍存在与该执行领域要求之间的差距。

6.2 - The factory didn't have effective system to control its overtime work compliance. so monthly overtime exceeded legal requirements. Reference law: China Labour Law, article 41. Reasons were as follow-1)The working hour record system could not alert when overtime was near or over the limits. 2)Based on management interview, the factory arranged the overtime according to the production order, they did not control the overtime effectively. 3)Based on workers interview, they would be arranged overtime if necessary, they didn't know the overtime limit and how to control. 4)Selected three months of sampled 8 workers attendance records from July 2018 to audit day to be reviewed, excessive monthly overtime work observed. All 8 workers monthly OT exceeded 36 hours, up to 50 hours in May 2019; all 8 workers monthly OT exceeded 36 hours, up to 50 hours in January 2019; all 8 workers monthly OT exceeded 36 hours, up to 64 hours in September 2018. Remark: The monthly overtime hours met legal requirement from 1 July 2019 to audit day (19 July 2019) so far, up to 32 hours.

工厂没有有效的系统去控制加班，所以月加班超出法规要求，参考法律法规：《中华人民共和国劳动法》第四十一条。因为以下原因：1)工厂的考勤系统没办法预警当其加班时间快超过或已经超过要求时，2)根据管理层访谈，工厂根据生产订单安排加班，没有有效的控制加班，3)根据工人访谈，有需要就会安排加班，他们不清楚加班的上限和如何控制加班，4)根据2018年7月到审核当天抽样的8名员工3个月的考勤记录显示，有月加班超时的情况：所有8名员工在2019年5月的月加班超过36小时，最大达50小时；所有8名员工在2019年1月的月加班超过36小时，最大达到50小时；所有8名员工在2018年9月的月加班超过36小时，最大达到64小时。备注：目前工厂2019年7月1号到审核当天（2019年7月19号）的月加班符合法律要求，达到32小时。

Remarks from Auditee:

Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: D

Deadline date:29/07/2019

Good practices

Areas of improvement

The factory had already set up the working hour policy and procedure. Normal working days were from Monday to Friday. Two fingerprint attendance machines were used to record employees' working hours. The calculation period of working hours was natural month. There were three shifts for security guard: 08:00-16:00, 16:00-24:00 and 24:00-08:00. One shift was arranged for kitchen staff: 08:30-12:30 & 15:00-19:00. There was only one shift for workers of assembling, packing, warehouse and QC departments, and normal working hour was 08:00-12:00 & 14:00-18:00, and the overtime was arranged for 2 hours (19:00-21:00) on normal working day and 8 hours on Saturdays sometimes. There was also only one shift for other employees, and normal working hour was changed to 08:30-12:00 & 14:00-18:00 since pervious audit, and the overtime was arranged for 3.5 hours (08:30-12:00) on Saturdays sometimes. Overtime was voluntary. 150%, 200% and 300% of normal rate would be compensated for overtime on normal working days, rest days and statutory holidays. No any overtime was occurred on Sundays or Statutory holidays. The peak season or non-peak season was not observed. Base on attendance records from July 2017 to audit date and worker interview it was noted that the maximum overtimes were 2 hours per day, 18 hours per week and 60 hours per month, and at least one day off in every 7 days was guaranteed. All these situations were cross verified during worker interview. However, gaps had still been identified in implementation:

工厂已建立工作时间的政策和程序。正常工作天为周一至周五。工厂用2台指纹考勤机记录员工工作时间。工作时间计算周期为自然月。保安实行三班制：08:00-16:00,16:00-24:00和24:00-08:00。厨工实行一班制：08:30-12:30, 15:00-19:00。装配包装、仓库和品质部门的员工均为一班制，正常工作时间为08:00-12:00, 14:00-18:00, 正常工作日有时加班2小时（19:00-21:00），周六有时加班8小时。其他部门的员工也为一班制，自上次审核之后正常工作时间调整为08:30-12:00, 14:00-18:00, 周六有时加班3.5小时（08:30-12:00）。加班是自愿的。工厂按基本工资的1.5倍、2倍及3倍支付工人平时加班、休息日加班及法定节假日加班的工资。未有周日或法定节假日加班的情况。未有观察到淡旺季。通过2017年7月至审核当天考勤记录评审和工人访谈发现每晚最多加班2小时，每周最多加班18小时，每月最多加班60小时，每7天至少休息1天得到保证。上述信息均通过工人访谈进行交叉验证。但是，在实践中仍然存在一些偏差：

6.2 - The factory did not establish an effective system to control working hours, so it caused monthly overtime was exceeding limit of law requirement. The working time records from July 2017 to the audit day showed that the monthly overtime hours exceeded 36 hours. For sampled three months: 13 out of 16 sampled workers' monthly overtime were 54 hours in November 2017; 14 out of 16 sampled workers' monthly overtime were 60 hours in April 2018; 14 out of 16 sampled workers' monthly overtime were 58 hours in June 2018. Moreover, 14 out of 16 sampled workers' monthly overtime reached 54 hours from 1 July 2018 to 30 July 2018. The factory explained they had working hours controlling plan and production supervisor was in the charge of controlling overtime. However, production supervisor explained they needed to arrange production plan based on order status normally and it was difficult to keep monthly overtime within 36 hours. Through worker interview it was noted that the workers had no idea about working hour control plan and their supervisor told them whether there was overtime on night or Saturday. Moreover, the factory's attendance recording system did not have the capacity to flag excessive working hours, either. (Refer to PRC Labour Law, Article 41)

工厂未有建立一个有效的系统来控制工作时间，所以导致月加班超出法规的限制。2017年7月至审核当天的考勤表显示月加班有超36小时的。对于抽样的三个月：16个抽样员工中有13个在2017年11月加班达54小时；16个抽样员工中有14个在2018年4月加班达60小时；16个抽样员工中有14个在2018年6月加班达58小时。另外，16个抽样员工中有14人从2018年7月1日至7月30日的加班达54小时。工厂解释其有工时控制计划，由生产主管负责控制加班。但是，生产主管解释其通常均是需根据订单的情况来安排生产，要控制月加班在36小时以内是非常困难的。通过工人访谈发现工人不清楚工厂的工时控制计划，如果晚上或者周六有加班，他们的主管会告诉他们。另外，工厂也考勤系统未有预警加班超时的功能。参考《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 - 157533] Audit Date: 19/07/2019 PA Score: A

Deadline date:31/12/2019

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The auditee established proper health and safety procedure, identified health and safety risk and made relevant action. Health and safety training was provided for workers. The factory provided building fire safety and structure safety records for all buildings. Emergency lights and exit signs were installed in production workshops, warehouses and dormitory building and inspected monthly. Adequate fire extinguishers and fire hydrant system were installed in the factory, and which were inspected every month. Work-related injury procedure was set up. 3 trained first aider in the factory. Sufficient first aid kits stocked with necessary supplies were provided in production workshops, warehouses and dormitory building. The last fire drill was conducted on 14 May 2019 including the workplace and dormitory area. Chemicals of little cleaning agents were used and stored safely in the factory, such as secondary containers and MSDS available. Clean potable water was also provided. The factory obtained registration certificates and valid annual safety inspection reports for three elevators. The factory provided dormitory and canteen. 2-3 workers shared one dormitory room. The food operating license for the canteen was provided for review and two kitchen staffs had obtained health certificates. No transportation was provided to workers. However, gaps have been identified in implementation. 7.8: Closed. Per onsite observation and workers interview, the factory posted the accident emergency response procedures in workshops to exposed workers and first-aid personnel.

被审核方建立了适当的健康安全管理程序, 识别了健康安全风险并制定了相关的措施。工厂给员工提供了健康安全培训。工厂有提供了所有厂房的消防验收和竣工验收记录。生产车间、仓库和宿舍的应急灯和出口指示标识进行了安装, 并每月进行检查, 配置了足够的灭火器材和消防栓, 并每月检查。工厂建立了工伤程序。工厂有3名培训过的急救员, 生产车间、仓库和宿舍里提供了充足的急救用品。最近的消防疏散演习在2019年5月14号举行, 包含了生产区和宿舍区。在工厂少量白电油等化学品安全地使用和存放, 例如二次容器和物料安全数据表有提供。同时工厂也提供了干净饮用水给员工。工厂有获得3台电梯使用登记证和年检报告。工厂有提供宿舍和饭堂, 2~3名工人住一个宿舍房间, 食品经营许可证提供审阅, 2名厨工获得了健康证。工厂没有提供交通班车给员工。然而, 发现被审核方在实施中仍存在与该章节要求之间的差距。7.8: 已关闭。根据现场审核和工人访谈, 工厂在车间张贴了事故应急响应程序以供工人和急救人员使用。

7.10 - There were one minor injury of hand wounded occurred in the past of 12 months, and the factory did statistics analysis for this minor injury and made corrective action, but the work-related injury record did not include how long the worker incapacitated yet. Factory representative explained that they did not record as no major injury.

过去12个月工厂有发生了1起轻微手划伤的工伤, 工厂已经针对小工伤做统计分析并制定改善措施, 但是工伤记录上仍然未有记录工人丧失劳动力的时长。工厂代表解释因不是大工伤, 所以没有记录。

7.21 - The factory canteen did not retain food samples for 48 hours as per legal requirements. Reference law: Catering and mass meal delivery hygiene requirement, Article 35.

工厂的饭堂未按要求把食品留样48小时, 参考《餐饮业和集体用餐配送单位卫生规范》第35条。

Remarks from Auditee:

Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A

Deadline date:30/09/2018

Good practices

Areas of improvement

The factory appointed Ms. Feiliang Wang to be responsible for the health and safety affairs. All buildings were owned by factory, and the factory provided the Building Structure Safety Certificates and Fire Safety records of all buildings. The factory had already established EHS committee, and latest EHS committee meeting was held on 10 May 2018. The internal health and safety risk assessment was conducted on 12 March 2018, and the main risk included electrical safety, machine safety etc.. The regular health and safety training was provided to employees on work station safety, first aid, chemicals use, PPEs use, electrical safety, machine safety, etc.. The factory provided the detection report of occupational hazards in the workplace, and this report was finished by Shenzhen Erqueen Testing Technology Co., Ltd. in May 2018. Firefighting equipment, such as fire alarm, fire extinguisher and fire hydrant were sufficiently available in the factory. Clear evacuation signs and emergency lights were provided. Evacuation paths were not blocked and wide enough for evacuation. The factory inspected firefighting equipment once per month. The sampled fire alarm, emergency light and fire hydrant were tested during this audit. The employees had the right to remove themselves from imminent danger without seeking permission from the factory. Fire drills were held twice per year, and the latest fire drill was conducted on 25 May 2018. The fire drill included the production area and dormitory area, and the interview workers knew how to escape under the emergency case. The factory had provided required personnel protective equipment (PPE) to workers where it was needed free of charge. Clean drinking water was always accessible without restrictions. The first-aid kit was provided in each workshop. 3 employees took part in first aider training which was held by Red Cross Society of China Yangjiang Branch, obtained the first aid certificates on 26 December 2015 and the certificates had 3 years of validity. The factory used three elevators, but did not use any forklift, crane or boiler. The factory provided the inspection reports of three elevators & certificate of operator. Sufficient numbers of toilets were provided separately for male and female workers. The kitchen, canteen and dormitory were provided to workers, but no transportation was provided. The food business license of this kitchen and health certificates of two cooks were provided. The food business license was issued by Yangjiang Yangdong District Food and Drug Administration on 4 March 2017, had 5 years of validity and its number was JY24417230013091. The lunch and supper were supplied in this canteen. The condition of dormitory room was suitable, and the lockers were provided in the dormitory room to keep personal belongings. However, gaps had still been identified in implementation:

工厂已任命王飞良女士负责健康和安事务。所有的建筑物均归工厂所有, 工厂已提供所有建筑物的建筑工程竣工验收报告和消防验收记录。工厂已成立EHS委员会, 最近一次的EHS委员会沟通会议是在2018年5月10日举行的。工厂在2018年3月进行了内部健康安全的风险评估, 主要风险包括机电力安全、机器安全等。工厂提供了定期的职业健康安全培训给员工, 内容涉及到工位安全、急救、化学品使用、个人防护用品使用、电力安全、机器安全等。工厂提供了工作场所职业病危害因素的检测报告, 此报告是由深圳市二轻环联检测技术有限公司在2018年5月完成的。消防设施, 如消防警铃、灭火器和消防栓等已在厂内配置足够。清晰的逃生标识和应急灯已被提供。逃生通道未被堵塞且宽度足够逃生。消防设施每月检查一次。审核过程中对消防警铃、应急灯和消防栓进行了抽样测试。员工有权利在遇到使自己远离即时发生的危及自身安全的严重危险, 而不需要工厂的事前准许。工厂一年进行两次消防演习, 最近一次的消防演习是在2018年5月25日进行的。消防演习涵盖了生产区和宿舍区, 访谈的工人知晓在紧急情况下如何疏散。工厂为员工免费提供必需的劳保用品。清洁的饮用水不受限制的提供。工厂已在每个车间配备急救药箱。工厂的3名员工参加了阳江市红十字会举办的急救员培训, 并在2015年12月26日获得了急救员证, 证书是3年的有效期。工厂有使用3部电梯, 未有使用叉车、行车或锅炉, 工厂提供了电梯的检验报告和操作证书。工厂已提供足够数量的男女厕所。工厂已提供厨房、餐厅和宿舍, 未提供交通工具。工厂提供了厨房的《食品经营许可证》和2位厨工的健康证。《食品经营许可证》是由阳江市阳东区食品药品监督管理局在2017年3月4日签发的, 有5年的有效期, 其编号为JY24417230013091。餐厅会供应午餐和晚餐。宿舍房间的状况是适宜的, 工厂在宿舍房间内提供了可以上锁的小柜子用于保存私人的贵重物品。但是, 在实践中仍然存在一些偏差:

<p>7.8 - Through factory tour and document review it was noted that the factory did not display the accident emergency response procedures visually to exposed workers and first-aid personnel, although the accident emergency response procedures were established and kept in office by factory. It was also confirmed by worker interview. 通过现场走访和文件查阅发现工厂未有在现场张贴事故应急响应程序以供工人和急救人员使用, 虽然工厂已建立事故应急响应程序并保存在办公室。这也通过工人访谈进行了确认。</p> <p>7.10 - Through document review and management interview it was noted that there were four injuries occurred from July 2017 to July 2018, such as hand wounded, and the factory did statistics analysis for minor injuries and made corrective actions, but the work-related injury records did not include how long the workers incapacitated. 通过文件查阅和管理访谈发现工厂自2017年7月至2018年7月发生了4起工伤, 如手伤, 工厂已经针对这些小工伤做统计分析并制定改善措施, 但是工伤记录上未有记录工人丧失劳动力的时长。</p> <p>7.21 - Through factory tour and management interview it was noted that the factory did not retain food samples for 48 hours. (Refer to catering and mass meal delivery hygiene requirement, Article 35) 通过现场走访和管理访谈发现工厂未有将食品留样48小时。参考《餐饮业和集体用餐配送单位卫生规范》第35条。</p>
Remarks from Auditee

Performance Area 8 : No Child Labour	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: This follow up audit did not cover the area of this section. 本次跟进审核未覆盖这个章节的内容。	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory had already established policies and procedure to prevent recruitment of child labor. No child labor was in factory. The youngest worker was born on 18 October 1996, and joined in the factory on 25 October 2016. The factory knew the worker less than 16 years old hired was illegal. The factory knew the serious consequence if child labor hired. The factory would ask each applicant to provide original ID. The factory also developed and maintained written procedure for remediation in case child labour occurs. 工厂已建立政策和程序以防止雇佣童工。工厂未有使用童工。最年轻员工出生于1996年10月18日, 于2016年10月25日加入工厂。工厂知道雇佣低于16周岁的员工是非法的, 知道雇佣童工的严重后果。工厂会要求入职者提供身份证件原件。工厂也制订和维持了书面的童工补救程序。</p>	
Remarks from Auditee	

Performance Area 9 : Special protection for young workers	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: This follow up audit did not cover the area of this section. 本次跟进审核未覆盖这个章节的内容。	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>No young worker was found in this factory, but the factory still set up the policy and procedure for protecting young workers, including recruiting process, training, risk assessments and grievance mechanisms etc.. A procedure regarding working conditions of young workers was also established to handle young worker issue and minimize the risks. Currently no young worker was hired in the factory and the youngest worker in the factory was more than 21 years old. 工厂未使用未成年工, 但工厂仍建立了关于未成年工的保护程序和政策, 包括招募程序、培训、风险评估和申诉机制等。一个针对未成年工工作条件的程序也建立起来以处理未成年工事项和降低风险。当前工厂无未成年工, 最年轻的员工已满21岁。</p>	
Remarks from Auditee	

Performance Area 10 : No Precarious Employment	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: This follow up audit did not cover the area of this section. 本次跟进审核未覆盖这个章节的内容。	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u> All workers signed the labour contracts with factory. New worker would sign the labour contract within one month after joining in factory. Wage, working hours, holidays, post, welfare were defined for labour contract. One labour contract was kept by workers. The term of new signed labor contract was usually 1 years including 1 months' probation, and term of renewed labor contract was 3 years without probation. No young worker, dispatching workers, temporary worker, student worker was found in this factory. 所有的工人已与工厂签订了劳动合同。新员工会在入职一个月内签订劳动合同。合同中有规定工资、工时、假期、岗位和福利等内容。工人会保留一份劳动合同。新签的劳动合同的期限一般是1年, 包括1个月的试用期, 然后续签的劳动合同的期限是3年, 未有试用期。工厂未使用未成年工、派遣工、临时工或学生工。	
Remarks from Auditee	
Performance Area 11 : No Bonded Labour	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: This follow up audit did not cover the area of this section. 本次跟进审核未覆盖这个章节的内容。	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u> The factory had already established the policy and procedure for no engaging in any form of servitude, forced, bonded, indentured, trafficked or non-voluntary labour. Though worker interview and factory tour it was noted that no worker was subjected inhumane or degrading treatment, corporal punishment, mental and physical coercion or verbal abuse. The discipline policy was also in line with legal requirement. 工厂已建立关于不参与到任何形式的奴役、强迫劳动、抵债性劳动、契约奴役、拐卖或非自愿劳动的政策和程序。通过工人访谈和现场走访发现未有工人受到不人道或有辱人格的待遇、体罚、精神或身体的压迫或言语虐待。工厂的惩戒政策也是符合法律法规要求。	
Remarks from Auditee	

Performance Area 12 : Protection of the Environment	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: This follow up audit did not cover the area of this section. 本次跟进审核未覆盖这个章节的内容。	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory had already established the policy and procedure to protect the environment, and provided the environmental protection training for all employees in 2018. The factory obtained the ISO14001:2015 certificate in 2018. The factory provided the environmental impact report form, which was compiled by Guangdong Institute of Eco-environment and Soil Sciences in August 2011. Moreover, the factory obtained the approval of environmental impact report form from Yangdong County Environmental Protection Bureau on 14 October 2011. The environmental (waster gas, wastewater and noise) monitoring was conducted by Shenzhen Erqueen Testing Technology Co., Ltd. in May 2018, and the monitoring results met the requirements. No industrial wastewater was emitted, but only domestic sewage was emitted in the factory. The factory identified the significant environmental impacts. The factory had already established the mechanism to manage the water in a way that respects the environment, particularly but not limited to preserving local water sources. The factory collected and updated the related environmental laws standards. E.g. Environmental Protection Law of the People's Republic of China. The license or permit was not needed by the factory.</p> <p>工厂已建立环境保护的政策和程序, 在2018年向所有员工提供了环境保护的培训。工厂在2018年获得了ISO14001:2015证书。工厂提供了《建设项目环境影响报告表》, 此报告是广东省生态环境与土壤研究所于2011年8月编制的。另外, 工厂在2011年10月14日获得了阳东县环境保护局给予的关于其建设项目环境影响报告表的审查批复。工厂在2018年5月委托深圳市二轻环联检测技术有限公司进行了环境(废气、废水和噪音)检测, 其检测结果符合要求。工厂未有排放工业污水, 仅有排放生活污水。工厂已识别重大环境因素。工厂已建立机制以保护环境的方式管理水资源, 尤其不限于保存当地的水资源。工厂收集和更新了环保相关的法律和标准, 如《中华人民共和国环境保护法》。工厂不需要许可证或执照。</p>	
Remarks from Auditee	
Performance Area 13 : Ethical Business Behaviour	
1- Followup Audit [Audit Id - 157533] Audit Date: 19/07/2019 PA Score: A	Deadline date:31/12/2019
GOOD PRACTICES:	
AREAS OF IMPROVEMENT: The auditee has established the appropriate measures to ensure and demonstrate no corruption, extortion, embezzlement, bribery, falsified information or misrepresentation in the supply chain. After cross checking the production records, workers interview, attendance records and payroll records, the data and information provided by the facility was correct. The factory established information protection procedure to protect the data of workers, customers, suppliers, etc. . However, gaps had been identified in implementation: 被审核方建立了合适的管理措施来确保及明确在供应链中不能存在行贿索贿, 挪用盗用公款, 贪腐, 提供虚假资料, 虚报等行为。通过交叉验证生产记录, 工人访谈, 考勤记录和工资记录, 工厂提供的记录和信是准确的。工厂建立了信息保护管理程序以保护包括员工, 客户和供应商在内信息资料。然而, 发现被审核方在实施中仍存在与该章节要求之间的差距。 <p>13.4 - There was no written rule on the consequence for supervisors who disregard the ways where personal information needs to be treated with respect. Factory representative stated that they would establish as soon as possible. 工厂未有建立书面规定针对如果管理人员违反了个人信息保密规定的相关处理。工厂代表表示会尽快制定。</p>	
Remarks from Auditee:	
Full Audit [Audit Id - 129949] Audit Date: 30/07/2018 PA Score: A	Deadline date:30/09/2018
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory had already established policy and procedure against any act of corruption, and the anti-bribery and anti-corruption training was provided to management and workers on 12 March 2018. The factory conduct risk assessment of anti-bribery and anti-corruption on 6 April 2018, and identified where and how the major risks of corruption could occur, and takes active measures to prevent and remediate them. The payrolls and attendance records were provided by factory management, and they were cross checked with other information such as inspection records, production records, warehouse records, worker interview, and no inconsistency case was noted. However, gaps had still been identified in implementation: 工厂已建立反腐败的政策和程序, 在2018年3月12日向管理层和工人提供了反贿赂和反腐败的培训。工厂在2018年4月6日进行了反贿赂和反腐败的风险评估, 识别出了高风险的贿赂行为会发生在什么地方, 会如何发生, 并主动采取措施来预防和改善。工厂提供的工资表和考勤记录, 已与其它信息如检验记录, 生产记录, 仓库进出库记录, 工人访谈等进行了交叉验证, 未有发现不一致的情况。但是, 在实践中仍然存在一些偏差:</p> <p>13.4 - Through document review and management interview it was noted that there was no written rule on the consequence for supervisors who disregard the ways where personal information needs to be treated with respect. 通过文件查阅和管理访谈发现工厂未有书面规定如果管理人员违反了个人信息保密规定的相关处理。</p>	
Remarks from Auditee	

Summary 

Audit Type	Date	Audit Id	PA1	PA2	PA3	PA4	PA5	PA6	PA7	PA8	PA9	PA10	PA11	PA12	PA13	Overall Rating
Follow-up Audit	19/07/2019	157533	D	A	A	A	A	D	A	A	A	A	A	A	A	C
Full Audit	30/07/2018	129949	D	A	A	A	B	D	A	A	A	A	A	A	A	C

Producer Photos



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



Photo of fire safety equipment
Safety exit with exit sign and emergency light.JPG



Photo of the dormitories (if applicable)
Dormitory building.JPG



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



Photo of fire safety equipment
Testing fire hydrant.JPG



Photo of the dormitories (if applicable)
Dormitory room.JPG



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

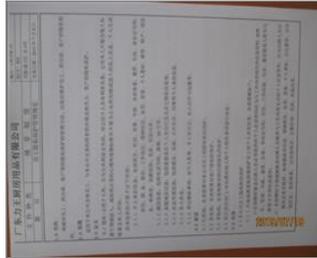


Photo of non-conformity
NC-13.4 insufficient personal information protection procedures.JPG



Photo of the inside of the main production hall
Assembly and packing.JPG



Photo first aid facilities
First aid kit.JPG



Photo of non-conformity
NC-5.5 Not all employees joined in social insurance.JPG



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



Photo of chemical storage room (if applicable)
Chemicals stored area and MSDS.JPG

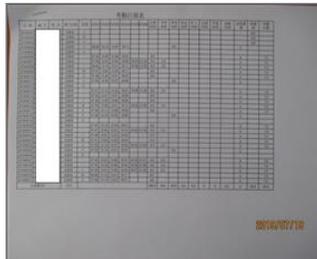


Photo of non-conformity
NC-6.2 monthly OT exceeded legal requirements.JPG



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



Photo of fire safety equipment
Evacuation indication.JPG



Photo of non-conformity
NG-7.10 the work-related injury record did not include how long the worker incapacitated.JPG



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



Photo of fire safety equipment
Evacuation plan.JPG



Photo of the canteen (if applicable)
Canteen.JPG



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



Photo of fire safety equipment
Fire alarm.JPG



Photo of the canteen (if applicable)
Kitchen.JPG



Photo of the sanitary facilities
Drinking water.JPG



Photo of fire safety equipment
Fire extinguishers.JPG



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



Photo of the sanitary facilities
Toilets.JPG



Photo of fire safety equipment
Fire hydrant.JPG