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Auditee :	<b>Hui'an Haohai Bags Co., Ltd</b>
Audit Date From :	<b>18/04/2019</b>
Audit Date To :	<b>18/04/2019</b>
Expiry Date of the Audit :	<b>Please refer to the producer profile in the amfori BSCI platform</b>
Auditing Company :	<b>TUEV Rheinland</b>
Auditor's Name(s) :	<b>Eason Chen(Lead)</b>
Auditing Branch (if applicable) :	<b>TUV Rheinland China</b>

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This is an extract of the on line Audit Report. The complete report is available in the amfori BSCI Platform.  
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## Rating Definitions



Rating	A combination of ratings per Performance Area where:	Consequence																																							
<b>A</b> <b>Very Good</b>	<ul style="list-style-type: none"><li>• Minimum 7 Performance Areas rated A</li><li>• No Performance Areas rated C, D or E</li></ul> These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td></tr><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td></tr><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr></table>	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	B	B	B	A	A	A	A	A	A	A	B	B	B	B	B	B	The auditee has the level of maturity to maintain its improvement process without the need for a follow-up audit.
A	A	A	A	A	A	A	A	A	A	A	A	A																													
A	A	A	A	A	A	A	A	A	A	B	B	B																													
A	A	A	A	A	A	A	B	B	B	B	B	B																													
<b>B</b> <b>Good</b>	<ul style="list-style-type: none"><li>• Maximum 3 Performance Areas rated C</li><li>• No Performance Areas rated D or E</li></ul> These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td></tr><tr><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td></tr></table>	A	A	A	A	A	A	B	B	B	B	B	B	B	A	A	A	A	A	B	B	B	B	B	B	B	C	B	B	B	B	B	B	B	B	B	B	C	C	C	The auditee has the level of maturity to maintain its improvement process without the need for a follow-up audit.
A	A	A	A	A	A	B	B	B	B	B	B	B																													
A	A	A	A	A	B	B	B	B	B	B	B	C																													
B	B	B	B	B	B	B	B	B	B	C	C	C																													
<b>C</b> <b>Acceptable</b>	<ul style="list-style-type: none"><li>• Maximum 2 Performance Areas rated D</li><li>• No Performance Areas rated E</li></ul> These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>C</td><td>C</td><td>C</td><td>C</td></tr><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td></tr><tr><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td></tr></table>	A	A	A	A	A	A	A	A	A	C	C	C	C	A	A	A	A	A	B	B	B	B	C	C	C	D	C	C	C	C	C	C	C	C	C	C	C	D	D	The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days.
A	A	A	A	A	A	A	A	A	C	C	C	C																													
A	A	A	A	A	B	B	B	B	C	C	C	D																													
C	C	C	C	C	C	C	C	C	C	C	D	D																													
<b>D</b> <b>Insufficient</b>	<ul style="list-style-type: none"><li>• Maximum 6 Performance Areas rated E</li></ul> These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>D</td><td>D</td><td>D</td></tr><tr><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td><td>D</td><td>E</td></tr><tr><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr></table>	A	A	A	A	A	A	A	A	A	A	D	D	D	A	A	A	B	B	B	C	C	C	D	D	D	E	D	D	D	D	D	D	D	D	E	E	E	E	E	The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days.
A	A	A	A	A	A	A	A	A	A	D	D	D																													
A	A	A	B	B	B	C	C	C	D	D	D	E																													
D	D	D	D	D	D	D	D	E	E	E	E	E																													
<b>E</b> <b>Unacceptable</b>	<ul style="list-style-type: none"><li>• Minimum 7 Performance Areas rated E</li></ul> These are three examples: <table><tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</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	A	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	A	E	E	E	E	E	E																													
A	A	B	B	C	D	E	E	E	E	E	E	E																													
E	E	E	E	E	E	E	E	E	E	E	E	E																													
<b>Zero Tolerance</b>	A Zero Tolerance Issue was identified (see amfori BSCI System Manual Part V – Annex 5: amfori BSCI Zero Tolerance Protocol)	Immediate actions are required. The amfori BSCI Zero Tolerance Protocol is to be followed.																																							

**Main Auditee Information**

Name of producer :	Hui'an Haohai Bags Co., Ltd		
DBID number :	18905		
Audit ID :	148952		
Address :	Xihu Industrial Park, Tuzhai Town, Huian County, Quanzhou		
Province :	Fujian	Country :	China
Management Representative :	Mr.Qingzhong Zhang /Manager		
Contact person:	Qingzhong Zhang	Sector :	Non-Food
Industry Type :	Textiles, clothing, leather	Product group :	hangbags, belts and shoes
Product Type :	bags		

**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 :	18/04/2020

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

**Executive summary of audit report**

Factory located at: Xihu Industrial Park, Tuzhai Town, Huian County, Quanzhou, Fujian, China. / 中国福建泉州惠安县涂寨镇西湖工业区. Total 4 buildings within this boundary (one 3-storey production building, one 2-storey production building, one flat warehouse building and one 5-storey canteen and dormitory building, and total building area around 6175.6m2). This audit covered these 4 buildings within this independent area.

The factory specialized in manufacture of Bags. The production process included: Cutting, Sewing, Inspection and Packing. Four security guard hired by factory. The silk printing process outsourcing to other factory, no sub-contract worker used in factory. The peak season was not obvious in factory. The factory was cooperative and demonstrated a willingness to improve all issues found during the audit. All production areas were open for investigation.

No contractor was used by the auditee, which makes the contractor license/permit not applicable.

No agency was used by the auditee, which makes the agency labour contract not applicable.

No government waivers such as Comprehensive Working Hours System waiver, social insurance waiver and etc. were obtained by the auditee, which makes the government waivers not applicable.

No collective bargain agreements existed in the factory, which makes the collective bargain agreements not applicable.

Verified through EIA form, factory no need to obtain the pollutant discharging license, so makes the PA12.3 not applicable.

**Ratings Summary**


Auditee's background information			
Auditee's name :	Hui'an Haohai Bags Co., Ltd	Legal status :	Limited Company
Local Name :	惠安浩海包装有限公司 (统一社会信用代码: 9135052177065326XQ)	Year in which the auditee was founded :	2005
Address :	Xihu Industrial Park, Tuzhai Town, Huian County,	Contact person (please select) :	Qingzhong Zhang
Province :	Fujian	Contact's Email :	info@haohaibags.com
City :	Quanzhou	Auditee's official language(s) for written communications :	Chinese
Region :	North East Asia	Other relevant languages for the auditee :	Local language
Country :	China	Website of auditee (if applicable) :	www.haohaibags.com
GPS coordinates :	N24°59'47", E118°49'27"	Total turnover (in Euros) :	2650000.00
Sector :	Non-Food	Of which exports % :	100.00
Industry :	Textiles, clothing, leather	Of which domestic market % :	0.00
If other, please specify :		Production volume :	Around 600000 pieces per year
Product Group :	hangbags, belts and shoes	Production cost calculation :	Yes
If other, please specify :		Lost time injury calculation cost :	Yes
Product Type :	bags		

Auditee's employment structure at the time of the audit		
Total number of workers :	97	Total number of workers in the production unit to be monitored (if applicable) : 0
	MALE WORKERS	FEMALE WORKERS
Permanent workers	33	64
Temporary workers	0	0
In management positions	2	0
Apprentices	0	0
On probation	0	0
With disabilities	0	0
Migrants (national citizens)	19	8
Migrants (foreign citizens)	0	0
Workers on the permanent payroll	33	64
Production based workers	0	0
With shifts at night	2	0
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 - 148952] Audit Date: 18/04/2019 PA Score: D

Deadline date:31/08/2019

### GOOD PRACTICES:

### AREAS OF IMPROVEMENT:

Factory established a management system to ensure daily operations in line with amfori BSCI conduct of code, but the system did not operate effectively. The amfori BSCI code of conduct was posted on the notice board in entrance of the workshop. Mr.Qingzhong Zhang /Manager was appointed as management representative to ensure the amfori BSCI values and principles being implemented. Verified through management representative interview, the management representative have a good knowledge of the value, principles and the items of amfori BSCI. Based on management interview and document review, the auditee had established the assessment procedure according to amfori BSCI code of conduct for significant business partners. The amfori BSCI COC and TOI were communicated to main business partners.

工厂建立了一个管理体系确保amfori BSCI行为准则的日常运营,但是系统没有有效运作。amfori BSCI行为守则贴在车间入口处的公告栏上。工厂经理张清忠先生被任命为管理者代表负责amfori BSCI的价值和条款的执行。通过管理者代表的访谈,管理者代表对amfori BSCI的价值和原则有很好的理解。基于管理层访谈和文件审查,受审核方根据amfori BSCI建立了对重要商业合作伙伴的评估程序。amfori BSCI的行为准则(COC)和商业实施条款(TOI)都已传达给了主要商业合作伙伴。

- 1.1 -** The auditee established the social accountability management system based on amfori BSCI Code of Conduct and Terms of Implementation. However, the auditee did not implement social accountability management system effectively. For example, the most findings raised in previous audit did not publish the corrective action. Verified through management interview: Factory established the social insurance procedure, and the current management operation followed with their original management experience. But due to factory production is very busy, so most finding raised in previous audit did not publish the corrective action. Verified through workers interview: Factory provided the amfori BSCI training for all workers, but no workers involve in the social responsibility system.

被审核方已经建立基于amfori BSCI行为准则和商业伙伴专用实施条款的社会责任管理体系。但是被审核方未能有效地执行社会责任管理体系的实施。比如:上次审核发现的部份问题没有进行整改。根据管理层访谈:工厂建立了社会责任程序,并且目前的管理运作主要按以往的管理经验,但是由于生产比较忙,所以大部份问题都没有进行整改。根据员工访谈:工厂提供了amfori BSCI行为守则的培训给所有的员工,但是没有员工参与到社会责任体系中。

- 1.3 -** The factory had established management procedure on supplier and subcontractor. Factory had monitored its main suppliers' social performance, and communicated the amfori BSCI COC and TOI to main business partners. However, the second party audit for significant suppliers did not cover the environment protection and business ethics. Factory management explained that they will add the environment protection and business ethics content in next supplier assessment.
- 工厂已经建立了供应商和外包商的管理程序。工厂对他们的主要供应商的社会责任表现进行了监控,并且将amfori BSCI的行为准则(COC)和实施条款(TOI)传达给商业合作伙伴。然而,对主要商业合作伙伴的第二方审核未覆盖环境保护和商业道德的内容。工厂管理者解释说他们将会将环境保护和商业道德的内容加到下次的供应商评估中。

- 1.4 -** The company didn't have a good capacity planning to meet the expectations of the delivery order led to workers had monthly excessive overtime work in past one year. (Refer to 6.2).

工厂没有一个完善的产能计划去完成预期的订单交货以致于员工在过去一年中有存在月超时加班。(见6.2)。

### Remarks from Auditee:

Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: D

Deadline date:24/07/2018

### Good practices

NONE

### Areas of improvement

The auditee had established the social responsibility management manual and procedures on basis of amfori BSCI principle and local legal requirement, such as the working hours control procedure, wages and benefit management procedure and occupational health and safety management procedure. The auditee assigned Mr.Qingzhong ZHANG / Production Manager to be responsible for the implementation of amfori BSCI Code of Conduct and Terms of Implementation for Business Partners in the auditee. According to amfori BSCI management representative interview, the management representative understood the importance of their own good social performance for its clients and the benefit of having a social management system in place. Assigned management representative had decision-making power and allocated budget to succeed in the follow-up of amfori BSCI social performance evaluation. He well understood the amfori BSCI Code of Conduct and system manual, business and supply chain, importance of significant business partners and expectations of stakeholders. The auditee also assigned Mr.Qingzhong ZHANG / Production Manager to be in charge of the follow-up with the grievance mechanism, human resource, training program, occupational health & safety, and allocated budget to succeed in the implementation of amfori BSCI principles and values. According to amfori BSCI management representative interview, he well understood the importance of good social performance for amfori BSCI participants and the benefits of having an effective management system and related procedure in place. The auditee communicated the amfori BSCI code of conduct and Terms of Implementation for Business Partners to their significant business partners. The business partners' selection procedure to select current and future significant business partners had established by the auditee. The selection of significant business partners was not only based on price and quality but also willingness to respect the amfori BSCI requirements. The auditee monitored their significant business partners' social performance by second party audits. However, gaps been had identified during the implementation.

被审核方已经建立了基于amfori BSCI原则和当地法律法规的社会责任管理手册和程序文件,例如工作时间控制程序,工资福利程序和职业健康与安全程序。被审核方任命生产经理张清忠先生负责amfori BSCI行为准则和商业伙伴专用实施条款的执行。根据amfori BSCI管理者代表的访谈,管理者代表理解使其客户有良好社会绩效的重要和有合适的社会管理体系的好处。被任命的管理者代表具有决策权并遵守amfori BSCI社会绩效评估分配预算。他能很好的理解amfori BSCI行为准则和体系手册、业务和供应链、重要商业合作伙伴的重要性和利益相关方的期望。被审核方同时也任命生产经理张清忠先生负责跟踪申诉机制,人力资源,培训项目,职业健康与安全分配预算以确保amfori BSCI原则和价值能成功地实施。根据amfori BSCI管理者代表访谈,他明白自身良好的社会表现对amfori BSCI参与方的重要性也理解有效的管理体系和相关的程序存在的好处。被审核方将amfori BSCI行为准则和商业伙伴专用实施条款传达给其重要的商业合作伙伴。被审核方建立了商业合作伙伴选择程序去选择当前的和未来的重要合作伙伴。选择商业合作伙伴的标准不仅是价格和数量也包括遵守amfori BSCI要求的意愿。被审核方定期地通过二方审核的方式监督重要商业合作伙伴的社会责任表现。然而,在实施过程中仍存在差距。

- 1.1 -** The auditee established the social accountability management system based on amfori BSCI Code of Conduct and Terms of Implementation. The auditee had collected and updated the legal law and regulations by assigned person periodically. However, the auditee did not implement social

	<p>accountability management system effectively. For example, the decent working hours had exceeded legal requirement without suitable monitoring mechanism and early warning mechanism. According to management interview, the current management operation followed with their original management experience. The auditee had implemented the amfori BSCI Code of Conduct in the production activities for several years, but findings for PA1, PA2, PA5, PA6 and PA7 and PA12 had been identified due to lack of continuous improvement approach and knowledge. According to workers and workers' representative interview, the training of responsibility of amfori BSCI implementation had been provided, but the auditee did not carry out satisfaction survey on grievance mechanism regularly to ensure the grievance mechanism worked effectively. The auditee had established the social responsibility management manual and procedures based on amfori BSCI principle and local legal requirement, such as the working hours control procedure, wages and benefit management procedure and occupational health and safety management procedure. However, the auditee did not respect and monitor the effectiveness of management system, for example, how to monitor the workers' working hours, how to ensure all legal required benefits had been provided and how to monitor the occupational health and safety issues etc.</p> <p>被审核方已经建立基于amfori BSCI行为准则和商业伙伴专用实施条款的社会责任管理体系。被审核方定期地由指定的人员负责收集和更新法律法规。被审核方未能有效地执行社会责任管理体系的实施。例如, 体面的工作时间仍然超过法定要求而无适当的监督机制和控制程序。根据管理层访谈, 目前的管理运作主要按以往的管理经验。被审核方已经在其生产活动中实施amfori BSCI行为准则。但是涉及绩效领域1, 绩效领域2, 绩效领域5, 绩效领域6, 绩效领域7和绩效领域12等的发现点由于缺少持续改善的方法和知识仍存在问题。根据员工和员工代表的访谈, 执行amfori BSCI行为准则的职责有进行培训。但是被审核方未定期安排申诉机制的满意度调查以确保申诉机制运作的有效性。被审核方已经建立了基于amfori BSCI原则和当地法律法规的社会责任管理手册和程序文件, 例如, 工作时间控制程序, 工资福利程序和职业健康与安全管理程序。然而, 被审核方未充分尊重和监控管理体系的有效性, 例如, 如何监控员工的工作时间, 如何确保提供法定要求的福利给员工和如何监控职业健康与安全的问题等。</p> <p><b>1.3 -</b> The auditee had communicated the amfori BSCI Code of Conduct and Terms of Implementation to their significant business. The auditee had kept the communication evidence with the significant business partners, such as fabric supplier, plastic accessories supplier, silk-printing subcontractor, packaging materials supplier etc. The signed amfori BSCI Code of Conduct and Terms of Implementation had been kept by the auditee. The auditee had established supplier and subcontractor management procedure for their significant business partners. The auditee had conducted the second party audit on basis of amfori BSCI Code of Conduct and TOI to monitor the performance of their significant business partners. However, the second party audit for significant suppliers did not cover the environment protection and business ethics.</p> <p>被审核方已经将amfori BSCI行为准则和商业伙伴专用实施条款传达给其主要商业合作伙伴。被审核方保留与主要商业合作伙伴的沟通证据, 例如布料供应商, 塑胶配件供应商, 丝印分包商和包材供应商等。被审核方保留了签署的amfori BSCI行为准则和商业伙伴专用实施条款。被审核方为其主要的商业合作伙伴建立了供应商和分包商的管理程序并且程序要求被审核方需要依据amfori BSCI 行为准则和商业伙伴专用实施条款对其重要商业合作伙伴进行了第二方的审核以监察其表现。然而, 对主要商业合作伙伴的第二方审核未覆盖环境保护和商业道德的内容。</p> <p><b>1.4 -</b> The auditee had prepared the production capacity planning for their production order and delivery time. However, the auditee did not consider the compliance of workers' overtime-working hours during the production capacity planning. No effective action plan had been taken to reduce the workers' overtime working hours by the auditee. For example, the auditee did not hire enough employees or properly organize to meet the produce requirement. According to the workers attendance records from March 2017 to audit date, the workers' working hours records indicated that 12 sampled workers' monthly overtime working hours in past 12 out of 13 months had exceeded 36 hours which was against the local law systematically. (Refer to 6.2).</p> <p>被审核方为生产订单和发货时间制定了产能规划。但是, 被审核方在产能规划期间未考虑员工加班工作时间的合规性。被审核方未采取有效的改善计划以减少员工的加班工作时间。例如, 被审核方未聘请足够的员工或更好地组织生产来满足生产的需求。根据对员工2017年3月至审核当日的考勤记录的检查, 员工工作时间记录显示12名抽样员工在过去13个月中的有12个月加班工作时间系统性的超过法规要求的36小时。(见6.2)。</p>
Remarks from Auditee	NONE



## Performance Area 2 : Workers Involvement and Protection

1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: B

Deadline date:31/05/2019

### GOOD PRACTICES:

### AREAS OF IMPROVEMENT:

Two worker representatives were freely-elected on 3 Jan 2019, and regular communications about social requirements were conducted between the factory management and workers ( The latest meeting conducted on 13 March 2019). The annual training on health, safety, amfori BSCI COC, work rule and working skills for workers were conducted. The interviewed workers understood their rights and responsibilities under labor law. E.g.: annual leave, minimum wage and demission etc. Social accountability policy and procedures were posted on the notice board in the workshop. The complaint procedure was established, workers could raise the suggestion through worker Rep, supervisors, HR Department or suggestion box and would not get revenge.

工人于2019年1月3日自由选举了2名员工代表, 并且工厂管理层就社会责任要求与工人进行定期沟通(最近一次的沟通会于2019年3月13日举行)。企业对员工的健康、安全、amfori BSCI 行为守则、工作规则和工作技能进行了培训。被访谈的员工都知道劳动法规定下的权利和义务, 比如: 年休假、最低工资及离职等。社会责任政策和程序张贴在车间通告栏上。申诉程序文件已经建立, 员工可以通过员工代表, 管理层, 人力资源部门或意见箱提出建议并且不会遭到打击报复。

**2.2 -** The auditee provided the long term goals for review, but didn't define long term goals to protect workers according to the amfori BSCI values and principles or its amfori BSCI performance, including how to reduce overtime hours and improvements of social insurance compliance.  
被审核方提供了社会责任的长期目标, 但是其目标没有根据amfori BSCI使命或愿意或其amfori BSCI表现去定义长期的目标去保护员工, 比如如何降低加班时间和提高社保参保等。

**2.5 -** Verified through management, worker interview, and document review, no grievance case in past 12 month. However, factory did not establish the relative measure to estimate and take action to improve the effectiveness of the grievance mechanism, such as regular satisfaction survey on grievance mechanism for internal workers and external business partners.

经过管理者, 员工访谈及文件审核, 工厂在过去的12个月中没有收到过申诉。但是工厂没有建立相关的措施去评估和采取措施以提高申诉机制的有效性。如定期地对内部员工和外部商业合作伙伴进行申诉机制的满意度调查等。

### Remarks from Auditee:

Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: B

Deadline date:24/07/2018

### Good practices

NONE

### Areas of improvement

The auditee established the grievance mechanism, which defined that, Mr. Qingzhong ZHANG / Production Manager was responsible for grievance administration. The grievance channel, timelines to address grievances, communication with workers for grievance case, record system for reporting grievance and investigation requirement etc. were defined in the grievance mechanism. The auditee established the communication structures to involve workers and their representatives. The communication structures included communication with management supervisor face to face, appeal their concerns to their representatives or report the grievance case by anonymous through suggestion box. The management and workers met to discuss about the improvement of the working condition quarterly and the meeting minutes were retained for consultation. The auditee had taken the capacity building activities to ensure workers were aware of their rights and responsibilities through training program. The training had covered the amfori BSCI Code of Conduct, factory rules, grievance mechanism, occupational health and safety, human resource etc. Content of amfori BSCI Code of Conduct was a mandatory training for all newcomers as per training records review. The auditee had published the amfori BSCI Code of Conduct at the workplace for workers and all interviewed workers confirmed that they knew their rights and responsibilities. However, gaps had been identified during the implementation.

被审核方建立了申诉机制并定义生产经理张清忠先生负责申诉管理。申诉渠道, 提出申诉的时间, 申诉案例的员工沟通, 报告申诉的记录系统和调查要求已经在申诉机制程序中定义。被审核方建立涉及员工和其代表真正的沟通架构。沟通的架构包括面对面的与管理主管交流, 向员工代表申诉或通过意见箱匿名举报。管理层与员工每季度进行关于工作环境改善的讨论会且保留会议纪要以便于磋商。被审核方采取了能力建设活动, 以确保员工通过培训了解他们的权利和责任。培训涵盖了amfori BSCI行为准则、工厂规章制度、申诉机制、职业健康和安全、人力资源等。根据培训记录的评审, amfori BSCI内容的培训是所有新人强制性培训。被审核方在工人工作场所公布了amfori BSCI行为守则且所有受访的工人证实他们知道他们的权利和责任。然而, 在实施过程中仍存在差距。

**2.2 -** The auditee established long-term goals to protect workers according to the amfori BSCI values and principles or its amfori BSCI performance. However, the long-term goals did not reflect a step-wise approach toward making sustainable improvements; for example, workers overtime-working hours had exceeded legal requirement in the past 12 out of 13 months systematically and no legal required social insurance had been provided to all workers. There was no attainable goals defined for monthly overtime working hours plan to ensure the monthly overtime working hours were reduced by step-wise approach and increase social insurance participation.

被审核方已经根据amfori BSCI使命和愿意或其amfori BSCI表现建立了长期的员工保护目标。然而该长期保护计划未反映出可持续改进的渐进式方法。例如, 员工的加班工作时间依然在过去的13个月中有12个月系统性超过法定要求且未提供法定要求的社保给所有的员工。被审核方未定义可实现的月加班控制计划确保月加班工作时间依据渐进式方法减少和提高社保参与率。

**2.5 -** The auditee established the grievance mechanism, but no regular satisfaction survey on grievance mechanism was carried out for internal workers and external business partners. Based on the grievance records review and workers interview, there were three internal workers' grievance cases reported in the past 12 months.

被审核方建立了申诉机制, 但是被审核方未定期地对内部员工和外部商业合作伙伴进行申诉机制的满意度调查。根据申诉记录检查和员工访谈, 在过去的12个月内仅有3例内部员工的申诉案例汇报。

### Remarks from Auditee

NONE

<b>Performance Area 3 : The rights of Freedom of Association and Collective Bargaining</b>	
1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b> Not rated in this audit. 本次审核未作评估。	
<b>Remarks from Auditee:</b>	
Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: A <span style="float: right;">Deadline date:</span>	
<u>Good practices</u>	
NONE	
<u>Areas of improvement</u>	
<p>The auditee respected the right of workers to form or to join union in a free and democratic way. Workers elected their representative once per year and the latest workers' representative election was carried out on 3 August 2017. Three workers' representatives had been elected by workers freely to communicate with management level conveniently. Workers did not need previous authorization from the auditee to join or establish a workers' organization and worker join workers organization on basis of their own choosing. The auditee respected the collective bargaining right of workers. The auditee well understood the collective bargaining process and no interference of the workers collective bargaining right was identified in the auditee. No retaliation for participating in election processes of workers representatives was observed as per workers interview. No discrimination practice was observed for workers' representatives. Workers' representative had equal right to take overtime, participate in training and obtain the social benefits. Workers representative could access to workers in their workplace and could discuss with workers during the break time, lunch break and dinner break. The workers representative had meeting with workers to discuss the concerns for workplace periodically.</p> <p>被审核方尊重员工自由和民主的方式成立或加入工会的权利。员工每年选举员工代表且最近一次员工代表选举在2017年8月3日。员工自行选举了三名员工代表以便于与管理层进行沟通。员工无需在被审核方授权的前提下参加或建立员工组织且基于员工自愿的情况下加入员工组织。被审核方尊重员工集体谈判的权利。被审核方很好理解了集体谈判的流程且未发现被审核方干涉员工集体谈判的权利。根据员工访谈参加员工代表选举过程的员工未受到打击报复。未发现对员工代表的歧视事例。员工代表有同等权利去参加加班, 参与培训和获得社会福利。员工代表有权进入员工的工作场所且能与员工在休息时间, 午餐休息时间和晚餐休息时间进行讨论。员工代表定期的与员工会唔讨论他们关心的工作场所的问题。</p>	
<u>Remarks from Auditee</u>	

<b>Performance Area 4 : No Discrimination</b>	
1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b> Not rated in this audit. 本次审核未作评估。	
<b>Remarks from Auditee:</b>	
Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: A <span style="float: right;">Deadline date:</span>	
<u>Good practices</u>	
NONE	
<u>Areas of improvement</u>	
<p>No discrimination case was reported or identified in the past year. The auditee had taken necessary measures to avoid or eradicate discrimination in their workplace. The recruitment process had considered no discrimination when recruiting, promoting, offering training, paying social benefits, daily work activities etc. Vulnerable groups like disable workers, pregnant women or migrant workers were also respected and no discrimination practice was implemented to them. Non-discrimination management procedure stipulated that the auditee did not discipline, dismiss or discriminate because of their complaints against infringements of their rights. The auditee did not discriminate any workers based on race, color, age, gender, sexual orientation, religion, political affiliation, union membership, national origin or marital status. The auditee prohibited the HBV or pregnancy test during the recruitment process.</p> <p>在过去的一年里未发生过歧视案例的报告。被审核方采取了必要的标准来避免和消除工作场所的歧视行为。招聘程序已经考虑到了在员工招聘, 晋升, 提供培训, 支付社会福利, 日常工作活动等不允许存在歧视。残疾人、孕妇或外地工人等弱势全体也同样被尊重且没有任何的歧视行为对他们进行实施。禁止歧视管理里程序指明员工不会因为抱怨违反他们的权利而受到处罚、解雇或歧视。被审核方不会因为种族、肤色、年龄、性别、性取向、宗教、政治观点、工会成员身份、国籍或婚姻状况等而受到歧视。在雇佣员工期间被审核方不允许进行乙肝测试和怀孕测试。</p>	
<u>Remarks from Auditee</u>	

## Performance Area 5 : Fair Remuneration

1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: B

Deadline date:31/08/2019

### GOOD PRACTICES:

### AREAS OF IMPROVEMENT:

All record and document provided by factory were truthful and real. Legal minimum wage was RMB1500/month and equal to 8.62/hour since July 1, 2017, the factory minimum wage was RMB9.49/Hour, above the minimum wage. The wages and benefit management procedure had established and trained to workers. Payrolls of 12 samples (different department) from March 2018 to Feb 2019 were reviewed. Wage was calculated at hourly rate and paid by cash at 30th of next month, the pay slip was provided to all workers. As shown in the payroll, paid annual leave and paid holidays were provided. Verified through 12 months social receipt, management interview and social insurance system, just 22 workers were covered by retirement insurance, unemployment insurance, maternity insurance, employment injury insurance and medical insurance. The following issues raised in previous audit were closed: PA5.4 Verified through payroll review, management and worker interview, although auditee did not collect the figure of living cost of its region, but the monthly wages paid by the factory were exceed the living cost of its region.

工厂提供的所有的记录和文件都是真实可信的。当地的最低工资标准从2017年7月1日开始为RMB1500等同与每小时RMB8.62, 企业支付工人的最低工资为人民币9.49元每小时, 高于当地最低工资。工厂已经建立了工资和福利管理程序并且培训给员工。抽取了12名来自不同岗位的员工从2018年3月至2019年2月的工资记录。员工的工资是以时薪计算的, 并且每个月30日以现金的形式发上个月工资。工资单也提供了给员工。工资表上体现出了带薪年假和带薪假期都已提供给员工。通过12个月的社保单据, 管理者访谈及社保系统核实, 只有22名员工都购买了养老, 失业, 生育, 工伤和医疗保险。已关闭的上次审核发现的问题, 如下所示: PA5.4 经过工资审核, 管理者及员工访谈, 了解到虽然被审核方未能收集当地的基本需求工资, 但是工厂每月支付的工资都高于当地的基本需求工资。

- 5.5 - Verified through 12 months social receipt, management interview, it was noted that just 73 out of 95 workers (no new worker, but 2 retired worker used in factory) did not purchase the retirement insurance, unemployment insurance, maternity insurance, medical insurance and employment injury insurance in April 2019. Confirmed with factory management and workers, there were three main reasons led to factory workers did not fully participate in social insurance: (1) Partial workers are migrants, they deemed that social insurance is useless. (2) Some worker purchased the rural cooperative medical insurance by themselves, so they unwilling to purchase it. (3) Due to the production cost, so factory did not purchase the social insurance for all workers. Factory management explained that they did not know how many workers purchase the new rural cooperative medical insurance, and if worker would like to purchase the social insurance, factory will help to handle it, but they don't require employees to purchase the social insurance. Reference law: PRC Labor Act, Article 72.

通过12个月的社保单据, 管理者访谈及核实, 工厂在2019年4月, 95名员工中(工厂没有新员工, 但是有2名退休返聘员工), 有73名员工没有购买养老保险, 失业保险, 生育保险, 医疗保险和工伤保险。经过和管理者及员工访谈确认, 由于以下三个主要原因导致工厂没有全员参与社保: (1) 由于部份外地员工觉得社保没有用。(2) 有部份员工自己购买了新农合保险, 所以他们都不愿意购买社保。(3) 由于生产成本原因, 所以工厂没有给所有员工购买社保。工厂管理者解释说他们不了解有多少名员工购买了新农合保险, 如果有员工想购买社保, 他们会帮忙购买, 但是他们不会要求所有的员工都要购买社保。参考法规:《中华人民共和国劳动法》第72条。

### Remarks from Auditee:

Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: C

Deadline date:24/07/2018

### Good practices

### NONE

### Areas of improvement

The auditee had established the wages and benefit management procedure and the auditee collected the local legal minimum wage standard from local media or government news periodically. Legal minimum wage was CNY1350/month and equal to CNY7.76 per hour (CNY1350/21.75/8) before 1 July 2017 and CNY1500 per month and equal to CNY8.62 per hour (CNY1500/21.75/8) since 1 July 2017. Payrolls from March 2017 to February 2018 were provided and reviewed. The minimum wage paid by the auditee was CNY1600 per month and equal to CNY9.20 per hour (CNY1600/21.75/8) for regular working hours. Workers basic wage ranged from CNY1600 per month to CNY3500 per month on basis of the job position, skill and experience. The paid minimum wages of auditee exceeded the local legal required minimum wages. Overtime premium had been paid no less than 150% of normal wage rate for weekday overtime, no less than 200% of normal wage rate for weekend overtime and no less than 300% of normal wage rate for statutory holiday overtime. Workers' wage was calculated by hourly rate and paid in cash on or before 30th of each following month. The auditee had issued the payment slip to workers for well understanding their detailed wages prior to the wage issued date. Paid holidays also had provided to workers. No disciplinary deduction was deducted from worker wages. However, gaps had been identified in implementation.

被审核方已经建立了工资和福利管理程序且被审核方从媒体或政府新闻定期地收集当地的法定最低工资文件。当地的最低工资标准在2017年7月1日前为人民币1350元等同于每小时人民币7.76元(人民币1350/21.75/8), 在2017年7月1日之后为人民币1500元等同于每小时人民币8.62元(人民币1500/21.75/8)。2017年3月至2018年2月的工资记录提供审核。被审核方支付工人正常上班的最低工资为人民币每月人民币1600等同于每小时人民币9.20(人民币1600/21.75/8)。员工的工资范围自人民币1600元每月至人民币3500元每月。被审核方支付给员工的工资超过了当地法定要求的最低工资。加班工资按不低于平时工资的150%支付平时加班的工资, 按不低于平时工资的200%支付周末加班的工资, 按不低于平时工资300%的工资支付假日的加班工资。员工的工资以时薪工资方式结算并且在每个月30日或之前以现金形式发放上个月工资。被审核方提供了工资单给员工以便于员工更好的了解详细的工资。带薪年假也提供给了员工。无纪律性扣款从员工工资中扣除。然而, 发现在实施中仍存在差距。

- 5.4 - According to management representative interview, workers interview and document review, the auditee did not investigate the local basic family living expenses and did not establish calculation method for decent living wages.  
根据管理层访谈, 员工访谈和文件检查, 被审核方尚未调查当地家庭生活费用也未建立体面的生活工资的计算方式。
- 5.5 - According to social insurance website checking and social insurance payment sheet (records from March 2017 to April 2018) review, legal required five types of social insurance were not provided to all workers by the auditee. The social insurance website and payment sheet in April 2018 indicated that only 22 out of 71 employees had been provided the legal required retirement insurance, unemployment insurance, basic medical insurance, childbearing insurance and accident insurance. The auditee did not provide the legal required five types of social insurance to 49 out of 71 employees. The management representative explained that most of workers had purchased the new rural social pension insurance in their hometown. Most of workers did not purchased the social insurance because it would be reduce the net wages. Interviewed workers stated that they expected to earn more money in the factory and they did not like to purchase the social insurance because they changed their work and work place if they could not earn money or other reasons. The purchased social insurance could not be transferred to their hometown easily due to local policy. (Reference Law and Regulation: Article 72 of Labour Law of the Peoples Republic of China (1994)) Remark: No commercial accident insurance was provided to workers. Crosschecked with accident records and workers interview information, three minor accident cases were occurred and reported in the past 12 months.

根据社保网站的检查和社保缴费凭证(自2017年3月至2018年4月的记录)的检查, 被审核方未提供法定要求的五险给所有员工。2018年4月的社保网站

和社保缴费凭证显示被审核方仅给在职的71名员工中的22名员工购买了法定要求的养老保险、失业保险、基本医疗保险、生育险和工伤保险。被审核方未提供法规要求的五种社会保险给71名员工中的49名员工。管理者代表解释大部分的员工已经在他们的家乡购买了新型农村社会养老保险。因为会减少员工的净收入,大部分员工不愿买社保。受访员工声明他们在工厂期望赚更多的钱且他们不愿意购买社会保险因为如果他们赚不到钱或其他原因就会更换工作或是工作地点。但是他们购买保险由于当地政策很不容易转移到他们的家乡。(参考法律法规:《中华人民共和国劳动法》(1994)第72条)备注:被审核方未提供商业工伤保险给员工。交叉检查工伤事故记录和员工访谈信息,在过去的12个月有三例轻微工伤事故的发生和报告。

Remarks from Auditee

NONE

## Performance Area 6 : Decent Working Hours

1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: D

Deadline date:31/08/2019

### GOOD PRACTICES:

### AREAS OF IMPROVEMENT:

Verified through document review, on-site observation and worker interview etc, the normal working hour of all samples were 8 hours per day and 40 hours per week. Three shifts were arranged for security guard, shift 1: 8:00-16:00, shift 2: 16:00-24:00, shift 3: 0:00-8:00. Only one shift was arranged for other department, working hours: 08:00-12:00, 14:00-18:00. Overtime was maximum 2 hours (19:00-21:00) if necessary. Sunday was guaranteed as the rest day. During the worker interview, workers confirmed that they worked overtime voluntarily and they could leave overtime arrangement with verbal informing. Time records for 12 workers (different workshop) from 23 April 2018 to audit day were randomly selected for verification. 150%, 200%, 300% of normal rate would be compensated for overtime on normal working days, Saturdays and statutory holidays. Fingerprint attendance machine was used to record each IN/OUT. Maximum 2 hours overtime per day 16.5 hours per week, 72.5 hours per month and 1 day off after 6 days consecutive working days was guaranteed.

经过文件审核, 现场观察和员工访谈等核实, 所有抽样的员工正常工作时间都是每天8小时, 每周40小时。企业为保安人员安排了三个班次: 班次1: 8:00-16:00, 班次2: 16:00-24:00, 班次3: 0:00-8:00, 企业为其它部门安排了一个班, 工作时间: 08:00-12:00, 14:00-18:00, 如果需要加班2小时: 19:00-21:00。星期日是保证休息的。工人们反映他们加班是自愿的, 并且如果不想加班, 只需要口头知会。随机抽了12名来自不同车间的工人从2018年4月23日至审核当日的考勤记录核实。平时加班, 周末加班和节假日加班, 工厂分别支付了平时工资的150%, 200%和300%。企业用电子指纹考勤系统来记录员工的上下班时间。员工每天最高加班2小时, 每周最高加班16.5小时, 每月最高加班72.5小时, 6天连续工作后休息1天是可以保证的。

- 6.2 -** Through reviewing the attendance records from 23 April 2018 to audit day, the monthly overtime hours of 10 out of 12 sampled workers exceeded 36 hours from May 2018 to March 2019 (and till to audit day, the monthly OT of April 2019 were 30.5-33 hours), and the maximum monthly overtime hours were 72.5 hours in Dec 2018. (1) Through reviewing the attendance records in Oct 2018, the monthly overtime hours of 10 out of 12 selected employees were 50-61 hours; (2) Through reviewing the attendance records in Dec 2018, the monthly overtime hours of 10 out of 12 selected employees were 64.5-72.5 hours; (3) Through reviewing the attendance records in Feb 2019, the monthly overtime hours of 10 out of 12 selected employees were 37 hours. Verified through management, and document review, the overtime arrangement depended on the order quantity, no any overtime control was done by factory and no tracking on overtime working was conducted. Verified through worker and worker representative interview, they did not know the overtime control procedure, but they could refuse overtime arrangement with verbal informing. Reference law: PRC Labour Law article 41, the total extension in a month shall not exceed thirty-six hours.

通过查阅2018年4月23日至审核当日的考勤, 12名抽样员工中的10名员工从2018年5月至2019年3月的月加班时间超过36小时(截止审核当天, 2019年4月的月加班时间为30.5-33小时), 最大月加班时间72.5小时(2018年12月)。 (1)通过查阅2018年10月12名员工考勤显示, 有10名员工月加班为50-61小时; (2)通过查阅2018年12月12名员工考勤显示, 有10名员工月加班为64.5-72.5小时; (3)通过查阅2019年2月12名员工考勤显示, 有10名员工月加班37小时。通过管理者及文件审核, 工厂是根据定单的需要安排加班的, 工厂并没有对加班进行管控, 也没有对加班进行跟踪。通过员工及员工代表访谈, 他们不知道加班管控程序, 但是他们如果不想加班可以口头知会。参考法律法规:《中华人民共和国劳动法》第41条, 用人单位每月加班不得超过三十六小时。

### Remarks from Auditee:

Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: D

Deadline date:24/07/2018

### Good practices

### NONE

### Areas of improvement

The auditee had established the workers' working hour management procedure and the procedure instructed that the workers regular working hour was 8 hours a day and 40 hours a week. The working hour procedure required workers' daily overtime working hours to be within 3 hours and monthly overtime working hours to be controlled within 36 hours. Workers' working hours were recorded by facial recognition or finger scanning recording system by their will, and all employees were arranged one shift only except security guards. The normal working schedule was four hours from 8:00 to 12:00 and four hours from 14:00 to 18:00; and if OT needed, workers started for one to three hours from 19:00 to 20:00, 21:00 or 22:00. Three shifts were arranged for security guards, and the normal working time was 8:00-16:00, 16:00-00:00 and 00:00-8:00. 12 sampled workers' working hours from March 2017 to audit date had been reviewed during the audit. The sampled working hour records indicated that workers' maximum daily working hours were 3 hours and weekly overtime working hours were 19 hours. One day off in every seven days had been provided to workers. Moreover, workers had been provided two hours lunch break and one-hour dinner break if overtime working was arranged. However, gaps had been identified during the implementation.

被审核方建立了员工工作时间管理程序并且定义员工的正常工作时间为每日8小时每周40小时。工作时间控制程序要求员工的日加班不得超过3小时且月加班不得超过36小时。员工工作时间由脸部识别或指纹扫描考勤记录系统进行记录。除保安外, 其他员工的工作时间仅为一个班次。正常上班时间为4小时从8:00至12:00, 4小时从14:00至18:00。如果需要加班, 员工加班1-3小时, 加班时间从19:00到20:00, 21:00 或22:00。保安安排三个班次, 正常工作时间为8:00-16:00, 16:00-00:00和00:00-8:00。12名抽样员工2017年3月至审核当日的考勤进行了查阅。抽样员工的工作时间记录显示员工的日加班为3小时周加班为19小时。每七天休息一天已经提供给员工。另外, 员工已经有提供2小时的午餐休息时间和1小时晚上如果有加班的休息时间。然而, 发现在实施中仍存在差距。

- 6.2 -** The auditee established the workers' overtime working management policy and procedure, the overtime working hour policy and procedure had required workers' daily overtime working hours should be less than 3 hours and monthly overtime working hours should be less than 36 hours. The overtime working hour arrangement required workers to get approval by General Manager of production prior to overtime working. The workers' working hours were scheduled by the production manager as per client order, delivery time and production capacity. Workers' daily and monthly overtime working hours had been monitored by H.R. supervisor to ensure the compliance of the working hours. The General Manager collected workers' daily and monthly working hour's data from H.R. supervisor to verify the compliance of the working hours. If workers' daily overtime working hours exceeded 3 hours or monthly overtime working hours exceeded 36 hours. The management representative would discuss with production manager about the root cause for overtime working case and raise the corrective action and preventive action plan. However, in 12 out of 13 months monthly overtime hours for 12 sampled workers exceeded 36 hours from March 2017 to March 2018 except February 2018. The range was from 68 hours to 84.5 hours. According to workers' overtime working data from March 2017 to audit date, there was no early warning system established by the auditee to ensure workers' overtime working hours complying with the legal requirement. 12 sampled workers' attendance records in 3 sampled months (May 2017, December 2017 and March 2018) reviewed showed that: 1) In May 2017, 9 out of 12 sampled workers' monthly overtime working hours exceeded 36 hours and 4 out of 12 sampled workers' monthly overtime working hours were 68 hours. 2) In December 2017, 11 out of 12 sampled workers' monthly overtime working hours exceeded 36 hours and 1 out of 12 sampled workers' monthly overtime working hours were 83 hours. 3) In March 2018, 12 sampled workers' monthly overtime working hours exceeded 36 hours and 5 out of 12 sampled workers' monthly overtime working hours were 84.5 hours. (Reference Law and Regulation: PRC Labour Law article 41). Remark: The



overtime working hours from 1 April 2018 to 24 April 2018 were 50 hours.

被审核方建立了员工加班工作时间管理政策和程序, 加班工作时间政策和程序要求员工日加班时间应少于3小时和月加班工作时间应少于36小时。加班工作时间的安排要求在加班之前取得总经理的批准。员工的工作时间由生产经理依据客户订单, 发货时间和生产能力安排。员工的日和月的加班时间由总经理进行监督确保工作时间的符合性。总经理从人事主管收集员工的日和月的加班时间数据并对数据进行检查工作时间的符合性。如果员工的日工作时间超过3小时或月加班工作时间超过36小时。总经理会与生产经理讨论加班超时事件的根本原因并提出纠正和预防措施。但是, 2017年3月至2018年3月期间, 12名抽样员工中的员工除了2018年2月, 在过去的13个月中的12个月的加班工作时间均超过36小时。月超时从68小时至84.5小时。根据自2017年3月至审核当日的加班工作时间记录被审核方未建立加班工作时间的预警系统以确保员工的加班工作时间符合法规要求。12名抽样的员工3个月考勤记录(2017年5月, 2017年12月和2018年3月)显示: (1) 2017年5月, 12名员工中的9名员工的月加班工作时间超过36小时且12名员工中有4名员工的月加班达68小时。(2) 2017年12月, 12名员工中的11名员工的月加班工作时间超过36小时且12名员工中有1名员工的月加班达83小时。(3) 2018年3月, 12名员工的月加班工作时间超过36小时且12名员工中有5名员工的月加班达84.5小时。(参考法律法规:《中华人民共和国劳动法》第41条) 备注: 2018年4月1日至24日的加班时间为50小时。

Remarks from Auditee

NONE



## Performance Area 7 : Occupational Health and Safety

1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: B

Deadline date:31/05/2019

### GOOD PRACTICES:

### AREAS OF IMPROVEMENT:

Although the auditee has set up its own occupational health and safety regulations and procedures, the actual practice throughout the facility was not fully in compliance. For example, the partial finding raised in previous audit did not publish the corrective action. Training records on personal protective equipment usage in recent 12 months were reviewed. EHS meeting was held once per quarter. Fire early warning system was installed and inspected monthly. Sufficient fire extinguishers and fire hydrants were installed and inspected monthly. Fire drills were carried out every six months and the latest one was conducted on 26 April 2016. Plans, reports, attendance records and photos were reviewed. Evacuation routes were not blocked and evacuation plans were posted at each floor. Emergency lights and exit marks were installed properly and inspected monthly. The dormitory and canteen were provided free of charge, and the fire equipment, first aid kit, drinking water, evacuation plan also provided for canteen and dormitory area. No transportation was provided to workers.

虽然工厂建立了职业健康安全方面的程序和相关制度,但是工厂在实际的执行过程中还存在问题。如上次审核的部份不符合项没有进行整改。最近12个月的个人防护用品的培训记录提供参考。健康安全的会议每季度进行一次。消防系统正确地安装同时每月检查。足够的灭火器和消防栓被安装和每月检查。工厂每6个月进行一次消防演习,最近一次是在2016年4月26日进行。计划,报告,出席记录和照片被提供查阅。车间逃生路线不受堵,逃生计划图在每楼层张贴。应急灯和安全出口指示被正确地安装和每月定期检查。工厂为员工提供了免费的食堂及宿舍,并且为食堂及宿舍区域提供了消防器材,急救箱,饮用水及疏散图。工厂没有提供班车给员工。

- 7.1 -** 1.Although the auditee has set up its own occupational health and safety regulations and procedures, the actual practice throughout the facility was not fully in compliance. For example, the partial finding raised in previous audit did not publish the corrective action. Factory management explained that due to production is very busy, so no time to publish the corrective action. 2.The factory did not conduct the occupational hazards factors testing. (For example, noise in cutting area and post-bed sewing area).Reference law: Provisions on the Supervision and Administration of Workplace Occupational Health Article 20. 3.No pre-job, on-service and post-service occupational diseases examination for workers exposed to occupational hazards position(e.g. noise in cutting area and post-bed sewing area). Reference law :Law of the People's Republic of China on Prevention and Control of Occupational Diseases, Article 35.

1.虽然工厂建立了职业健康安全方面的程序和相关制度,但是工厂在实际的执行过程中还存在问题。如上次审核的部份不符合项没有进行整改。工厂管理者解释说由于生产比较忙,所以没有时间进行整改。2.工厂没有委托进行职业危害因素检测(如裁床区域和罗拉针车区域的噪音因素)。参考法规:《工作场所职业卫生监督管理规定》第二十条。3.工厂未能提供从事有职业病危害工种的员工的岗前,在岗和离岗体检报告:如:裁床区域和罗拉针车区域的噪音因素。参考法律法规:《中华人民共和国职业病防治法》第三十五条。

- 7.2 -** Verified through 12 months social receipt, management interview and social insurance system, it was noted that factory did not purchase the employment injury insurance for all workers. For example, just 22 out of 97 workers purchased the employment injury insurance in April 2019, and other 75 employees were not covered by any insurance. Factory management explained that they will purchase the commercial insurance for all workers later. Reference law: PRC Law of Social Insurance Law article 33.

通过12个月的社保单据,管理者访谈及社保系统核实,工厂没有给所有的员工购买工伤保险,如:工厂在2019年4月97名员工中,只有22名员工购买了工伤保险,另外75人没有购买任何保险。工厂管理者解释说他们接下来将会给所有的员工购买商业保险。参考法规:《中华人民共和国社会保险法》第三十三条。

- 7.6 -** The facility has provided the personal protective equipment such as earplugs to its employee. However, 50% cutting and post-bed sewing workers did not use earplug. Factory management explained that partial workers neglect it. Reference law: Production Safety Law of the People's Republic of China, article 42.

审核发现:工厂给员工提供了个人防护用品例如:耳塞,但是50%的裁床和罗拉车员工在工作时没有佩戴耳塞。工厂管理者解释说部份的员工疏忽了这个问题。参考法规:《中华人民共和国安全生产法》,第42条。

- 7.7 -** 1.80% machine oil containers were not attached with valid label and stored without secondary container in production area. Factory management explained that the chemical management worker neglect it. Reference law: Regulation of Chemical Safety Usage in Workplace Article 14 and Regulation for Safety of Dangerous Chemical article 20. 2.No MSDS was provided on chemical (machine oil) used and storage area. Reference law: Regulation of Chemical Safety Usage in Workplace, Article 12.

1.工厂生产区域的80%的机油容器没有粘贴有效的化学品标签,而且没有配备二次容器。工厂管理者解释说化学品管理员工疏忽了。参考法规:《工作场所安全使用化学品规定》第十四条和危险化学品安全管理条例第二十条。2.化学品(机油)使用和存放区域没有MSDS。参考法律法规:《工作场所安全使用化学品规定》第12条。

- 7.9 -** The factory didn't post occupation hazard notification card on cutting area and post-bed sewing area. Factory management explained that the posted occupation hazard notification card was often missing. Reference law: Law of the People's Republic of China on the Prevention and Control of Occupational Diseases, Article 24.

工厂在裁床区域和罗拉针车区域没有张贴职业危害告知卡。工厂管理者解释说张贴的职业危害告知卡经常丢失。参考法律法规:《中华人民共和国职业病防治法》第二十四条。

- 7.11 -** Verified through management interview, all buildings were constructed in 2004 (each building more than 300m2), but factory failed to provide the valid Building Construction Inspection Certificate and Fire Safety Inspection Certificate of production building. Factory management explained that factory obtained the Building Construction Inspection Certificate and Fire Safety Inspection Certificate, but due to file keeper is on vacation, so they could not provide it for review. Reference law: Construction Law Of The People's Republic Of China Article 61 and Fire Prevention Law Of The People's Republic Of China Article 13.

经过管理者访谈核实,所有建筑于2004年建成(每幢建筑都大于300m2),但是工厂未能提供生产厂房的建筑工程竣工验收报告和消防验收报告。工厂管理者解释说,工厂获得了建筑工程竣工验收报告和消防验收报告,但由于文件管理人员在休假,所以他们无法提供此文件供审核。参考法规:《中华人民共和国建筑法》第六十一条和《中华人民共和国消防法》第十三条。

- 7.17 -** No safeguards of pulley were installed for 10% sewing machines used in sewing area, and all general sewing machines were not equipped with needle guards. Factory management explained it hard to find the parts to repair it. Reference law: General rules of design on health and safety of production facility (GB5083-1999), Article 6.1.6 and 6.1.2.

缝纫区域的10%缝纫机没有皮带轮防护罩,并且所有普通缝纫机没有配备针档。工厂管理者解释说很难找到配件去修理好。参考法规:生产设备安全卫生设计总则 (GB5083-1999) 6.1.6和6.1.2。

- 7.21 -** It was noted the factory didn't provide Food business license and health certificate for cook for review. Factory management explained that the Food business license is in processing, and the health certificate of cooks was out of the date, so did not provide for review. reference law: Food Safety Law of the People's Republic of China, Article 35 and PRC Law on food safety article 35 & 45.

工厂未提供厨房的食品经营许可证和厨工的健康证供审核。工厂管理者解释说食品经营许可证正在办理中,厨工的健康证过期了,所以没有提供。相关法律法规:《中华人民共和国食品安全法》第三十五条和《中华人民共和国食品安全法》第35和45条。

- 7.22 -** The factory did not install private doors for workers toilet, and the soap and tissues were not supplied in toilet area. Factory management

explained that they neglect it.

给员工使用的厕所蹲位处没有门, 并且厕所里没有提供给员工洗手用的肥皂及纸巾。工厂管理者解释说他们疏忽了。

**Remarks from Auditee:**

Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: B

Deadline date:24/07/2018

**Good practices**

NONE

**Areas of improvement**

The auditee established the occupational health and safety management system. Mr. Qingzhong ZHANG / Production Manager was assigned to be responsible for implementation of the occupational health and safety issues. The environment of the workplace maintained in suitable humidity, temperature and sufficient lighting. The EHS committee carried out the EHS meeting periodically. Occupational health and safety training had been provided to workers by orientation training and refresh training program. Workers had right to remove herself or himself from imminent danger without seeking permission from their management. Adequate warning sign for danger operation and potential risk had been posted at the workplace. First aid facilities were provided at the workplace and the accident case would be recorded accordingly. Three minor accident cases were reported since last audit and the auditee had conducted the root cause analysis, took the corrective action and preventative action. The auditee provided adequate potable water at workplace for free drinking. Firefighting facilities had been 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 and the latest one was conducted on 9 April 2018. Plans, reports, attendance records and photos were reviewed. Evacuation routes were unblocked and evacuation maps were posted at each production floor. The auditee had provided the dormitory, kitchen and canteen to workers, but no transportation facility was provided to workers. However, gaps had been identified in implementation.

被审核方建立了职业健康与安全管理体系。生产经理张清忠先生负责职业健康与安全项目的执行。工作场所的环境保持合适的湿度、温度和充足的照明。环境健康与安全委员会定期进行环境健康与安全的会议。职业健康与安全培训通过新员工培训和定期的更新培训传递给员工。员工有权从重大危险发生时立即撤离而不需要经过管理人员的许可。危险作业或是潜在风险张贴了足够的警示标志。作业场所提供了急救设施且工伤事故都会被记录。自上次审核之后仅有三次轻微工伤事故报告。被审核方已经对工伤事故进行了根本原因分析, 纠正措施和预防措施。被审核方提供了足够的饮水设施给员工免费饮用。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, 安全出口灯具等。被审核方每年进行两次消防演习, 最近一次是在2018年4月9日进行。消防逃生演习的计划, 报告, 出席记录和图片被提供查阅。车间逃生路线不受堵, 逃生计划图在生产的每楼层张贴。被审核方提供宿舍、食堂和餐厅给员工, 但是未提供交通工具给员工。然而, 在实施中仍存在差距。

7.1 - The auditee did not conduct the occupational hazards factors testing in their workplace. (e.g. The noise level of the die-cutting process and post-bed sewing process) (Reference Laws and Regulations: Article 26 of Law of the People's Republic of China on Prevention and Control of Occupational Diseases).

被审核方未在生产场所进行职业危害因素检测。(例如: 裁断工序和罗拉车工序的噪音水平)(参考法律法规: 中华人民共和国职业病防治法 第26条)

7.2 - No compulsory insurance scheme was implemented in the auditee to protect workers. For example, no legal required accident insurance had been provided to all workers by the auditee. According to social insurance payment sheet and website checking of April 2018, only 22 out of 71 employees had been provided with the accident insurance. (Reference Law and Regulation: Article 72 & 73 of Labour Law of the People's Republic of China (1994)) Remark: No commercial accident insurance had been provided to workers by the auditee.

被审核方未执行强制保险方案以保护员工。例如, 被审核方根本未提供法定要求的工伤保险给所有员工。根据2018年4月的社保缴费凭证和网上核查, 被审核方仅给71名员工中的22名员工提供工伤保险。(参考法律法规: 《中华人民共和国劳动法》(1994)第72条和第73条) 备注: 被审核方未提供商业保险给员工。

7.6 - The auditee had identified the potential noise risk of die-cutting process and post-bed sewing process. However, no PPE was provided to workers who engaged in the high noise working environment. For example, no earplugs were provided to die-cutting operator and post-bed sewing operators. (Reference Law and Regulation: Article 22 of Law of the People's Republic of China on Prevention and Control of Occupational Diseases)

被审核方已经识别在裁断工序和罗拉车工序的噪音风险。然而, 被审核方未将个人防护用品提供给涉及噪音工作环境的员工。例如, 裁断作业员和罗拉车作业员未佩戴耳塞。(参考法律法规: 中华人民共和国职业病防治法 第22条)

7.7 - The auditee established the chemical materials management procedure and the chemical contacting operators had been trained for handling the chemical materials safely. A trained worker was assigned to be responsible for chemical materials handling. However, there were several findings identified during the site observation. For example, 1. No chemical safety label was attached to the lubricant oil container, which was used in the sewing process. (Reference law and regulation: Article 19 of Regulation of Chemical Safety Usage in Workplace). 2. No secondary container was provided to the storing chemical materials container to prevent the leakage for chemical materials storing area and using area, such as the lubricant oil. (Reference law and regulation: Article 20 of Regulation for Safety of Dangerous Chemical) 3. No MSDS was provided for the chemical used in the facility such as lubricant oil. (Reference Laws and Regulations: Article 12 of Regulation of Chemical Safety Usage in Workplace)

被审核方建立了化学品物料的管理程序且化学品管理和接触的人员也进行了化学品安全处理的培训。一名受过培训的员工被指定负责化学品的处理。然而, 在现场审核期间仍有几个发现点。例如, 1. 针车工序使用的润滑油未张贴化学品安全标签。(参考法律法规: 工作场所安全使用化学品规定 第19条)。2. 被审核方未在化学品暂存区和使用区域提供存放化学品的二次容器以防止泄露。例如润滑油。(参考法律法规: 危险化学品安全管理条例第20条)。3. 使用的化学品如润滑油没有提供有关的物质安全资料表。(参考法律法规: 工作场所安全使用化学品规定 第12条)

7.9 - The auditee established the occupational hazardous control procedure, However, no occupational hazards notifications, occupational hazards accident emergency first aid instruction, workplace occupational hazard factors inspection result were published at the workplace by the auditee, such as the noise level of the die-cutting process and post-bed sewing machine using area. (Reference Laws and Regulations: Article 24 of Law of the People's Republic of China on Prevention and Control of Occupational Diseases)

被审核方建立了职业危害控制程序。然而, 被审核方未将职业病危害告知书, 职业危害事故应急救援措施和工作场所职业病危害因素检测结果公布在车间。例如, 裁断工序和罗拉车使用区域的噪音水平。(参考法律法规: 中华人民共和国职业病防治法 第24条)

7.17 - The auditee established the equipment safety procedure. Workers were trained for the equipment safety operation. The maintenance worker was responsible for equipment fixing and maintenance. However, according to site observation, no safety pulley guards were equipped for around 10% of post-bed sewing machines and no needle guards were equipped for all post-bed sewing machines, bartacking sewing machines and pattern sewing machines. (Reference Law and regulation: article 6.1.2 of General rules of design on health and safety of production facility (GB5083-1999))

被审核方建立了设备安全管理程序。员工也进行了设备安全的培训。专门维修人员被指派负责设备的维修和保养。然而, 根据现场观察, 约10%的罗拉车未安装皮带轮保护罩且所有的罗拉车, 套结机和模版车都未安装挡针板。(参考法律法规: 生产设备安全卫生设计总则(GB5083-1999)第6.1.2条)

7.21 - No Food Business License was obtained for kitchen and canteen by the facility. (Reference Law and Regulation: article 4 of Measures for the administration of food business license)

被审核方未获得食堂餐厅的食品经营许可证。(参考法律法规: 食品经营许可证管理办法 第4条)

7.22 - The general hygiene of toilet was kept clean. The cleaner was responsible for the cleaning of the toilet. However, there was no private doors equipped for the toilets by the auditee, And no soap and tissues were provided for toilet also. (Reference law and regulation: Hygienic standards for

the design of industrial enterprises (GBZ 1-2010), article 7.3.4) 卫生间的卫生保持干净, 保洁员负责每日对卫生间的清洁。然而, 厕所没有安装隐私门且也未在洗手间提供香皂及卫生纸。(参考法律法规: 工业企业设计卫生标准 (GBZ 1-2010) 第7.3.4条)
<b>Remarks from Auditee</b>
NONE
<b>Performance Area 8 : No Child Labour</b>
1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: A <span style="float: right;">Deadline date:</span>
<b>GOOD PRACTICES:</b>
<b>AREAS OF IMPROVEMENT:</b> Not rated in this audit. 本次审核未作评估。
<b>Remarks from Auditee:</b>
Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: A <span style="float: right;">Deadline date:</span>
<u>Good practices</u>
NONE
<u>Areas of improvement</u>  No visible underage workers was observed during the site tour. The auditee established the recruitment procedure to ensure that the auditee refused to recruit the workers who were less than 16 years old. Child labor remediation process had been established. The auditee had established the effective newcomer recruitment procedure. The auditee checked the original ID cards to identify the actual age of all applicants and the photocopies of ID cards had been kept in personnel files and maintained in the auditee. The auditee rejected the candidate if any suspicion or defective ID cards authenticity existed. According to the roster of workers and 12 sampled workers' personnel files review, no child labor and juvenile worker was employed by the auditee. All employees were above 16 years old. The youngest worker was 23 years old and he was born on 28 February 1995 and employed on 6 June 2017. 在现场走访期间未发现明显的低于法定年龄的员工。被审核方建立了招聘程序确保被审核方不雇佣年龄低于16周岁的人员。童工补救措施也被定义。被审核方建立了有效的新员工的招聘程序。被审核方检查员工的身份证原件去识别应聘者的真实年龄并会复印一张身份证存留在其人事档案中并存在工厂。如果存在可疑或是身份证的真实性存在瑕疵, 应聘者将被拒绝聘用。在审核期间根据对员工花名册和12名抽样员工的人事档案的查阅, 被审核方未聘用童工和未成年工, 所有员工年龄都在16周岁以上。最年轻的员工为23周岁且他出生于1995年2月28日并于2017年6月6日雇佣。
<b>Remarks from Auditee</b>
<b>Performance Area 9 : Special protection for young workers</b>
1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: A <span style="float: right;">Deadline date:</span>
<b>GOOD PRACTICES:</b>
<b>AREAS OF IMPROVEMENT:</b> Not rated in this audit. 本次审核未作评估。
<b>Remarks from Auditee:</b>
Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: A <span style="float: right;">Deadline date:</span>
<u>Good practices</u>
NONE
<u>Areas of improvement</u>  No young worker was employed by the auditee and the youngest worker in the auditee was 23 years old. The auditee had carried out the risk assessment for young workers to ensure young workers did not work at night, in hazardous working environment and heavy workload position. The auditee had established the young workers protection procedure to avoid young workers to participate in the night work and young worker was protected against for their health, safety and development. The grievance mechanism and occupational health and safety training would be communicated to young workers individually if the auditee employed the young workers. 被审核方未聘用未成年工且最年轻的员工为23周岁。被审核方进行了未成年工的风险评估确保未成年工无需在夜间, 危险工作环境和重体力岗位工作。被审核方建立了未成年工保护程序以避免未成年工参与夜班且免受影响其健康、安全和发展的工作条件伤害。如果被审核方聘用未成年工, 被审核方将会把申诉机制和职业健康与安全进行单独的培训。
<b>Remarks from Auditee</b>

Performance Area 10 : No Precarious Employment	
1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b> Not rated in this audit. 本次审核未作评估。	
<b>Remarks from Auditee:</b>	
Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
NONE	
<u>Areas of improvement</u>	
<p>No dispatched workers, seasonal workers, migrant workers, summer job workers, apprentice workers and temporary workers was hired by auditee. The auditee had established the sustainable employment relationships with workers. The recruitment requirements included the remuneration, hours of work, disciplinary measure, promotion, training, termination of employment etc. The auditee monitored the work cycles respectfully to the workers at every step, such as recruitment process, remuneration, hours of work, disciplinary measures, promotion, trainings, termination of employment etc. All the employees were permanent workers. The labor contracts of all workers were provided for review. The labor contracts had included the nature of work, working hours, wages, leave entitlements, benefits, what fees the worker will be charged and the amount(s), other benefits provided and wage deductions and etc.</p> <p>被审核方未雇佣派遣工、季节工、外劳、暑期工、学徒工以及临时工。被审核方已经与员工建立了稳定的雇用关系, 招聘原则包括招聘流程、报酬、工作时间、纪律措施、晋升、培训、离职等。被审核方监督工作环节是否每个阶段都尊重员工。例如: 招聘流程, 报酬, 工作时间, 惩戒措施, 晋升, 培训和终止合同等。所有的雇员都是长期的合同工。在审核期间所有员工的劳动合同提供查阅。劳动合同内容包括了工作性质, 工作时间, 工资, 休假权利, 福利, 哪些费用需要支付, 其他提供的福利和工资中的代扣减项等。</p>	
<u>Remarks from Auditee</u>	
Performance Area 11 : No Bonded Labour	
1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b> Not rated in this audit. 本次审核未作评估。	
<b>Remarks from Auditee:</b>	
Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
NONE	
<u>Areas of improvement</u>	
<p>All work was done on voluntary basis. The auditee established a written policy and procedure against involuntary labor. No movement restriction was implemented in the auditee, and workers could access to toilets or drinking freely without any restriction. Workers could leave the auditee during the meal break or after the shift ended freely. No any types of servitude, forced, bonded, indentured, trafficked or non-voluntary Labour was identified during the audit. Workers could freely terminate the employment contracts upon 30 days' advance notice in written form after probation period or 3 days' advance notice in written form during probation period. The auditee just asked the workers to provide original government-issued certificate such as national ID card for review but no original documents would be withheld by the auditee. The auditee checked applicants' original certificates and kept the photocopies of ID cards in the personnel files as per recruitment process.</p> <p>所有员工都是基于自愿的原则在该场所工作。被审核方针对非自愿劳工建立了书面的政策和程序。被审核方未限制员工在厂区内的移动且员工可以自由的使用洗手间和饮水设施而无限制。员工在餐休和下班之后可以自由的离开工厂。在审核方期间未发现任何形式的奴役, 强迫, 抵债, 契约, 买卖和非自愿劳工。员工可以在30天的通知期后自由选择终止劳动关系和试用期员工3天的通知期。被审核方在招聘过程中仅要求员工提供政府发放的证件如身份证供查阅, 但是被审核方不会将其原件扣留。被审核方检查应聘者的身份证并保留一份证件的副本如身份证在其个人档案中。</p>	
<u>Remarks from Auditee</u>	



## Performance Area 12 : Protection of the Environment

1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: B

Deadline date:31/08/2019

### GOOD PRACTICES:

### AREAS OF IMPROVEMENT:

The EIA report and approval were provided for review, the environmental policy were established. No waste water, industrial noise and waste gas was generated during the production process, so auditee no need to obtain the pollutant discharging license. Factory established the procedures to incorporate relevant environmental laws, and the list of collected laws about Environmental was provided for review.

工厂提供了环评报告及环评批复供审核, 并且工厂建立环境的方针政策。工厂生产过程中无废水, 工业噪音及废气产生, 所以工厂无需取得排污许可证。工厂已建立了法律法规更新程序, 并且提供了已收集的关于环境方面的法规供审核。

- 12.4 -** No evidence was provided to show that noise and canteen waste gas complied with national emission standard. Factory management explained that they will provided the monitoring report in next audit. Reference law: Law of the People's Republic of China on Prevention and Control of Pollution from Environmental Noise (1996), Article 23, and Catering atmospheric pollutant emission GB18483-2001.

没有证据能够证明工厂的噪音和食堂油烟排放符合国家规定的排放标准。工厂管理者解释说他们在下次审核时会提供监测报告。参考法规: 中华人民共和国环境噪声污染防治法(1996)第二十三条和饮食业油烟排放标准GB18483-2001。

- 12.5 -** The auditee did not have proper identification of water springs, rivers, lakes and other water ecosystems in the area, and no actual action plan focusing on water waste reduction and saving water was established. Factory management explained that they did not know how to identify ecosystems.

被审核方未正确的识别该区域的水资源、河流、湖泊和其他水域生态系统, 同时未针对降低污水的排放以及节约用水建立实际的行动计划。工厂管理者解释说他们不了解如何去识别该生态系统。

### Remarks from Auditee:

Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: B

Deadline date:24/07/2018

### Good practices

NONE

### Areas of improvement

The auditee had established environmental protection management procedure, retained the Environmental Impact Assessment Register Report, which was approved by local environmental bureau. The auditee collected and updated the relevant environmental law and regulation regularly to ensure the production activities had met the environment protection requirements. No industry waste water and air emission generated during the production process. The waste living water was discharged to the local municipal sewage pipe network. The auditee had transferred the hazardous wastes to the licensed vendor for disposing. The business license and transportation permit of qualified service vendors were provided for check. However, gaps had identified during the implementation.

被审核方建立了环境保护相关管理制度以及供应商环境保护管理制度且获得了环境影响备案报告并获得批复。被审核方定期地收集和更新相关的法律法规以确保其生产活动符合法规要求。在生产过程中不产生废水和废气排放。生活废水排放至当地市政污水管网。被审核方将其产生的危险废弃物转移给有资质公司处理。被审核方已经提供有资质的服务供应商的营业执照和运输许可证供审核。然而, 在实施过程中仍存在差距。

- 12.4 -** 1. The auditee failed to provide the monitoring report for its boundary noise level, which was generated by the die-cutting machines and sewing machines. (Reference law and regulation: Law of the People's Republic of China on Prevention and Control of Pollution From Environmental Noise , Article 23) 2. The cooking fume purification treatment device had been equipped for the kitchen. However, the auditee failed to provide the monitoring report for cooking fume, which was generated by cooking. (Law of the People's Republic of China on the Prevention and Control of Atmospheric Pollution (2000 Revision), Article 13)

1. 被审核方未能提供由其裁断设备和车缝设备产生的厂界噪音状况的监测报告。(参考法律法规: 中华人民共和国环境噪声污染防治法 第23条) 2. 被审核方已经安装了油烟净化设施, 然而, 被审核方未能提供由烹饪产生油烟废气的排放监测报告。(参考法律法规: 中华人民共和国大气污染防治法(2000修订)第十三条)

- 12.5 -** No industry waste water was generated by the production process and the domestic waste water was discharged to the local municipal sewage pipe network. However, the auditee did not have proper identification of water springs, rivers, lakes and other water ecosystems in the area, and no actual action plan focusing on water waste reduction and saving water was established.

生产过程中不产生工业废水且生活污水排放至当地市政管网。然而, 被审核方未正确的识别该区域的水资源、河流、湖泊和其他水域生态系统, 同时未针对降低污水的排放以及节约用水建立实际的行动计划。

### Remarks from Auditee

NONE

### Performance Area 13 : Ethical Business Behaviour

1- Followup Audit [Audit Id - 148952] Audit Date: 18/04/2019 PA Score: A

Deadline date:

#### GOOD PRACTICES:

#### AREAS OF IMPROVEMENT:

Not rated in this audit.  
本次审核未作评估。

#### Remarks from Auditee:

Full Audit [Audit Id - 121908] Audit Date: 23/04/2018 PA Score: A

Deadline date:

#### Good practices

NONE

#### Areas of improvement

The business ethic procedure had indicated that any misbehaviour among the workers would be investigated and discouraged. The auditee not only established the Business Ethics policy and procedure that publicly condemn corruption, extortion and bribery as unacceptable unethical behaviours perpetrated in its business and sphere of influence, but also provided the Business Ethics training including anti-corruption and anti-bribery to workers. The auditee conducted the risk assessment for their business activities to identify the risk of business ethic. The auditee required keeping accurate information regarding its own activities structure and performance, which included that all documents were required accurately and no falsifying information was permitted in their supply chain. Any claim made by the auditee in terms of its activity must be correct (E.g. production volumes, number of workers, working hours, whether employ direct or indirect workers). The personal information had been protected in accordance with privacy and information security policy. The privacy information regarding workers and clients had been protected by different responsible person. For example, workers privacy information was protected by H.R. staffs and clients privacy information was protected by sales.

商业道德程序已经指明不道德的行为将被调查和不鼓励。被审核方不仅建立商业道德政策包括公开谴责腐败，在其业务和影响范围内的勒索和贿赂是不可接受的和不道德的行为，而且提供了包括防腐败和反贿赂的商业道德培训给员工。被审核方进行了商业活动中的风险评估以识别可能存在的商业道德的风险。被审核方要求针对自身活动架构内和表现应保留准确的信息且在其供应链中虚假信息也是不被允许的。任何由被审核方做出的就其活动而言的声明都必须是正确的(例如:产量, 员工人数, 工作时间和是否雇佣直接或间接员工)。个人信息依据隐私和信息安全政策进行了保护。针对员工和客户的个人隐私有不同的责任人负责保护。例如: 员工的个人隐私由人事职员保管, 客户隐私由业务保管。

#### 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	18/04/2019	148952	D	B	A	A	B	D	B	A	A	A	A	B	A	C
Full Audit	23/04/2018	121908	D	B	A	A	C	D	B	A	A	A	A	B	A	C

**Producer Photos**



Photo first aid facilities  
First aid kit.JPG



Photo of non-conformity  
7.22 No private doors.JPG



Photo of the inside of the main production hall  
Sewing area.JPG



Photo of fire safety equipment  
Emergency light and exit sign.JPG



Photo of non-conformity  
7.6 The worker did not use earplug.JPG



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



Photo of fire safety equipment  
Evacuation plan.JPG



Photo of non-conformity  
7.7 No valid label and stored without secondary  
container.JPG



Photo of the inside of the main production hall  
Warehouse area.JPG



Photo of fire safety equipment  
Extinguisher.JPG



Photo of the canteen (if applicable)  
Canteen area.JPG



Photo of the sanitary facilities  
Drinking water.JPG



Photo of fire safety equipment  
Fire alarm.JPG



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



Photo of the sanitary facilities  
Toilet.JPG



Photo of fire safety equipment  
Fire hydrant testing.JPG



Photo of the dormitories (if applicable)  
Dormitory area1.JPG



External photo(s) of the production unit(s)  
2-storey production building.JPG



Photo of fire safety equipment  
Fire hydrant.JPG



Photo of the dormitories (if applicable)  
Dormitory area2.JPG



External photo(s) of the production unit(s)  
3-storey office and production building.JPG



Photo of non-conformity  
5.5 Insufficiency social insurance.JPG



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



External photo(s) of the production unit(s)  
5-storey dormitory and canteen building.JPG

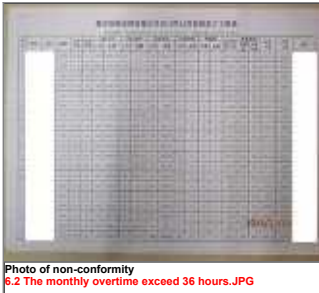


Photo of non-conformity  
6.2 The monthly overtime exceed 36 hours.JPG



Photo of the inside of the main production hall  
Cutting area.JPG



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



Photo of non-conformity  
7.17 No needle guards.JPG



Photo of the inside of the main production hall  
Inspection and Packing area.JPG



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



Photo of non-conformity  
7.17 No safeguards of pulley.JPG