
Auditee :	Nice Garden Gift & Toy Co., Ltd.
Audit Date From :	11/10/2018
Audit Date To :	11/10/2018
Expiry Date of the Audit :	Please refer to the producer profile in the amfori BSCI platform
Auditing Company :	TUEV Rheinland
Auditor's Name(s) :	Angie Dong(Lead)
Auditing Branch (if applicable) :	TUV Rheinland China



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



Rating	A combination of ratings per Performance Area where:	Consequence																																							
<p>A Very Good</p>	<ul style="list-style-type: none"> • Minimum 7 Performance Areas rated A • No Performance Areas rated C, D or E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr> </table>	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	B	B	B	A	A	A	A	A	A	A	B	B	B	B	B	B	<p>The auditee has the level of maturity to maintain its improvement process without the need for a follow-up audit.</p>
A	A	A	A	A	A	A	A	A	A	A	A	A																													
A	A	A	A	A	A	A	A	A	A	B	B	B																													
A	A	A	A	A	A	A	B	B	B	B	B	B																													
<p>B Good</p>	<ul style="list-style-type: none"> • Maximum 3 Performance Areas rated C • No Performance Areas rated D or E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td></tr> <tr><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td></tr> </table>	A	A	A	A	A	A	B	B	B	B	B	B	B	A	A	A	A	A	B	B	B	B	B	B	B	C	B	B	B	B	B	B	B	B	B	B	C	C	C	<p>The auditee has the level of maturity to maintain its improvement process without the need for a follow-up audit.</p>
A	A	A	A	A	A	B	B	B	B	B	B	B																													
A	A	A	A	A	B	B	B	B	B	B	B	C																													
B	B	B	B	B	B	B	B	B	B	C	C	C																													
<p>C Acceptable</p>	<ul style="list-style-type: none"> • Maximum 2 Performance Areas rated D • No Performance Areas rated E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>C</td><td>C</td><td>C</td><td>C</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td></tr> <tr><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td></tr> </table>	A	A	A	A	A	A	A	A	A	C	C	C	C	A	A	A	A	A	B	B	B	B	C	C	C	D	C	C	C	C	C	C	C	C	C	C	C	D	D	<p>The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days.</p>
A	A	A	A	A	A	A	A	A	C	C	C	C																													
A	A	A	A	A	B	B	B	B	C	C	C	D																													
C	C	C	C	C	C	C	C	C	C	C	D	D																													
<p>D Insufficient</p>	<ul style="list-style-type: none"> • Maximum 6 Performance Areas rated E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>D</td><td>D</td><td>D</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td><td>D</td><td>E</td></tr> <tr><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> </table>	A	A	A	A	A	A	A	A	A	A	D	D	D	A	A	A	B	B	B	C	C	C	D	D	D	E	D	D	D	D	D	D	D	E	E	E	E	E	E	<p>The auditee needs follow up to support its progress. Following the completion of the audit, the auditee develops a Remediation Plan within 60 days.</p>
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A	A	A	B	B	B	C	C	C	D	D	D	E																													
D	D	D	D	D	D	D	E	E	E	E	E	E																													
<p>E Unacceptable</p>	<ul style="list-style-type: none"> • Minimum 7 Performance Areas rated E <p>These are three examples:</p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> <tr><td>A</td><td>A</td><td>B</td><td>B</td><td>C</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> <tr><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> </table>	A	A	A	A	A	A	E	E	E	E	E	E	E	A	A	B	B	C	D	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	<p>amfori BSCI Participants shall closely oversee the auditee's progress as the producer may represent a higher risk than other business partners.</p>
A	A	A	A	A	A	E	E	E	E	E	E	E																													
A	A	B	B	C	D	E	E	E	E	E	E	E																													
E	E	E	E	E	E	E	E	E	E	E	E	E																													
<p>Zero Tolerance</p>	<p>A Zero Tolerance issue was identified (see amfori BSCI System Manual Part V – Annex 5: amfori BSCI Zero Tolerance Protocol)</p>	<p>Immediate actions are required. The amfori BSCI Zero Tolerance Protocol is to be followed.</p>																																							

Main Auditee Information

Name of producer :	Nice Garden Gift & Toy Co., Ltd.		
DBID number :	367093		
Audit ID :	135319		
Address :	Cangfang Village, Jinji Town Tianchang		
Province :	Anhui	Country :	China
Management Representative :	Mr. Zongbao CHEN /General Manager		
Contact person:	Zongbao Chen	Sector :	Non-Food
Industry Type :	Toys and Games	Product group :	toys
Product Type :	plush toys		

Audit Details



Audit Range :	<input checked="" type="checkbox"/> Full Audit	<input type="checkbox"/> Follow-up Audit	
Audit Scope :	<input checked="" type="checkbox"/> Main Auditee	<input type="checkbox"/> Main Auditee & Farms	
Audit Environment :	<input checked="" type="checkbox"/> Industrial	<input type="checkbox"/> Agricultural	<input type="checkbox"/> Small Producer
Audit Announcement :	<input checked="" type="checkbox"/> Fully-Announced	<input type="checkbox"/> Fully-Unannounced	<input type="checkbox"/> Semi-Announced
Random Unannounced Check (RUC) :	No		
Audit extent (if applicable) :	none		
Audit interferences or contingencies (if applicable) :	none		
Overall rating :	C		
Need of follow-up :	Yes	If YES, by : 11/10/2019	

Rating per Performance Area (PA)

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

Executive summary of audit report

Location and layout:

The full audit was conducted for the facility named Nice Garden Gift & Toy Co., Ltd. (天市长好礼佳园玩具有限公司) on fully announced basis. The facility is located at Cangfang Village, Jinji Town, Tianchang, Anhui, China. (中国安徽省天长市金集镇仓房村). The facility was founded in 27 February 2014 at the current location. The facility area covers about 1200 square meters.

There are total 4 flat floor buildings in the facility premise, all buildings were rented from the landlord named Baoxin YE. The related renting contract was maintained and provided. The total construction area of the used buildings covers 850 square meters.

One flat building is used for office, packing process and sample making room. One flat building is used for sewing, manual sewing and cotton filling processes. One flat building is used for warehouse, and one flat building is used for canteen, kitchen and exhibition room. No dormitory was provided to employees in the facility. No transportation was provided, as most employees lives in the village which is near the facility.

Production and employees:

The products manufactured by the facility was toys such as plush toys. The main production processes include sewing, manual sewing, cotton filling, inspection and packing. Based on the onsite observation and management interview, the facility did not have cutting process, which was needed for production, then one subcontractor was used for the cutting process. Per the facility management and the provided records, there was no obvious peak and low season in the facility.

All employees were hired directly by the facility. Most of employees are local people, and they are in age ranged from 29 to 74 years old.

Others:

During the audit process, the factory management and sampled workers were cooperative. The auditee agreed that the auditor accesses to all areas, and all requested documents and records were provided in a timely manner. The auditee agreed the auditor to conduct confidential interviews with employees who were chosen freely without any influence by the auditee. The workers expressed their positive attitude to the management, payment, benefits and working conditions.

Remark:

1. No photos of agency labor contract, social insurance, building fire safety approval, construction safety approval, government waiver, environmental licenses, CA agreements, dormitory were taken, as no agencies were used, no social insurance was provided, the facility had no fire safety approval, construction safety approval, no government waiver was obtained, no environmental licenses were obtained, no CA agreements were available, no dormitory was provided.

2. The finding related to packed cartons and materials placed against walls cited under 7.1 in onsite finding report was moved to 7.16.

Ratings Summary



Auditee's background information			
Auditee's name :	Nice Garden Gift & Toy Co., Ltd.	Legal status :	Limited company
Local Name :	天门市好礼佳园玩具有限公司 (91341181092488110U)	Year in which the auditee was founded :	2014
Address :	Cangfang Village, Jinji Town	Contact person (please select) :	Zongbao Chen
Province :	Anhui	Contact's Email :	391586216@qq.com
City :	Tianchang	Auditee's official language(s) for written communications :	Chinese
Region :	North East Asia	Other relevant languages for the auditee :	None
Country :	China	Website of auditee (if applicable) :	None
GPS coordinates :	N32'32"19"E119'4"24"	Total turnover (in Euros) :	15000.00
Sector :	Non-Food	Of which exports % :	100.00
Industry :	Toys and Games	Of which domestic market % :	0.00
If other, please specify :		Production volume :	150000 pieces per month
Product Group :	toys	Production cost calculation :	Yes
If other, please specify :		Lost time injury calculation cost :	Yes
Product Type :	plush toys		

Auditee's employment structure at the time of the audit			
Total number of workers :	41	Total number of workers in the production unit to be monitored (if applicable) :	0
	MALE WORKERS	FEMALE WORKERS	
Permanent workers	0	0	
Temporary workers	8	33	
In management positions	5	1	
Apprentices	0	0	
On probation	0	0	
With disabilities	1	0	
Migrants (national citizens)	0	0	
Migrants (foreign citizens)	0	0	
Workers on the permanent payroll	8	33	
Production based workers	0	0	
With shifts at night	0	0	
Unionised	0	0	
Pregnant	-	0	
On maternity leave	-	0	

Finding Report



Performance Area 1 : Social Management System and Cascade Effect

Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: D

Deadline date:30/09/2019

GOOD PRACTICES:

None 无

AREAS OF IMPROVEMENT:

The auditee had established one management system to implement the amfori BSCI code of conduct. Senior manager was available to ensure all values were followed. Annual internal audit was conducted to monitor the social compliance status of the facility to ensure continuous improvement. The auditee also communicated the basic requirement of amfori BSCI code of conduct with its suppliers and one used subcontractor by signing back the amfori BSCI code of conduct and commitment. Onsite social compliance audit was conducted to monitor main suppliers and subcontractor's social compliance status, with related records maintained. However, gaps have been identified in implementation currently.

工厂建立了管理体系来确保工厂遵守amfori BSCI行为准则。同时工厂任命了高级管理者代表来负责BSCI方面事务确保所有条款都有实施。工厂有进行年度内审来管控社会责任的情况并确保做出持续的改善。工厂通过签回amfori BSCI行为准则和承诺书和供应商及一个外发商沟通了amfori BSCI行为准则的要求。受审核方对其主要供应商和外发商进行了现场审核以监管其社会责任的表现, 相关记录有保留。然而, 工厂目前仍存在缺失。

- 1.1 - Written social compliance procedure was established in the facility. But the amfori BSCI management representative had poor knowledge of amfori BSCI COC, it did not implement effectively, non-conformance related to Workers Involvement and Protection, Fair Remuneration, Decent Working Hours, Occupational Health and Safety, No Precarious Employment, Protection of the Environment were detected during the current audit, which requires continuous improvement.

工厂有建立关于社会责任的书面程序。但是amfori BSCI管理者代表对amfori BSCI行为守则的了解不足, 社会责任程序没有有效的实施, 此次审核中工厂在工人参与和保护, 公平报酬、体面的工作时间、职业健康安全, 无缺乏保障就业, 环境保护方面有发现不符合项, 需要做持续改进。

- 1.2 - The factory defined management representative rule and responsibility. The management representative did not attend any amfori BSCI Code 2.0 training. Then the management representative did not know the amfori BSCI new requirements clearly, and allocated budget to succeed in the follow-up of amfori BSCI social performance.

工厂有明确管理者代表其职责。管理者代表未能参加任何amfori BSCI2.0体系培训, 因此管理者代表未能清楚的了解amfori BSCI新版本的要求, 此不利于amfori BSCI要求的执行。

- 1.4 - Cost accounting and capacity planning procedure was established in the facility. However, the facility could not provide production arrangement in recent months, and the factory didn't have a capacity planning to meet the expectations of the delivery order led to workers had excessive overtime work in past 12 months.

工厂有建立成本核算和产量计划程序。但是, 工程未能提供最近月份的生产计划安排, 工厂没有有效的产能规划去完成预期的订单交货以致于员工在过去12个月有超时加班。

Remarks from Auditee:

Performance Area 2 : Workers Involvement and Protection

Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: C

Deadline date:30/10/2018

GOOD PRACTICES:

None 无

AREAS OF IMPROVEMENT:

Based on the amfori BSCI code of conduct, the auditee has set up their mission, objective and policy on worker involvement and protection. Besides, the auditee has provided trainings regarding grievance mechanism to all workers. Satisfactory evidence has shown that workers are free and public to elect worker representative for once a year. Employees can report grievance through suggestion box anonymously. With regard to the reported cases, the HR department will take time to handle the issues and no retaliation will be made. Regular communication meeting between the workers, worker representative and management was conducted to collect any feedback from workers, and to solve worker's problem whenever applicable. In addition, amfori BSCI Code of Conduct is posted in a visible place in the workplace. However, gaps have been identified in implementation currently.

工厂依据amfori BSCI的行为准则建立了员工参与和保护方针政策 and 程序文件。此外, 工厂为所有员工提供了关于申诉机制方面培训。令人满意的证据表明员工每年至少有一次公开选举员工代表。同时员工可以通过意见箱来匿名申诉。对于所有上报的案例, 工厂人事部门会负责后续事宜调查和处理, 举报员工不会被打击报复。工厂管理, 员工和员工代表之间会定期举行沟通会来收集员工反馈, 进一步解决员工可能存在的问题。另外, amfori BSCI行为准则在车间显眼位置张贴。然而, 工厂目前仍存在缺失。

- 2.4 - The amfori BSCI code was posted in workshop, however most of workers could not read per testimonies of interviewees. It was noted that the 80% interviewees were not aware of basic requirement of amfori BSCI such as workers involvement and protection, fair remuneration and decent working hours. The factory had not provided related training for them.

工厂车间有张贴amfori BSCI行为准则, 但是据员工汇报很多员工不会读。评估中发现80%被访谈员工对amfori BSCI的基本内容例如工人参与和保护, 公平报酬, 体面的劳动时间并不清楚, 工厂未对员工做过相关的培训。

- 2.5 - Incomplete written grievance mechanism was established, which did not include all interested parties, only for directly hired facility employees.

工厂建立书面的申诉机制不完整, 建立的申诉机制未涉及所有利益相关方, 仅包括直接聘用的工厂员工。

Remarks from Auditee:

Performance Area 3 : The rights of Freedom of Association and Collective Bargaining	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: A	Deadline date:
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: The factory didn't restrict the rights of free association and bargaining. There was no trade union in the factory. The workers didn't sign collective bargaining agreement with the factory. Worker representatives were elected by workers. Based on the election process and result, election record, 3 workers were elected as worker representatives in 2017. Workers can interact with the worker representatives without interruption. All employees are not discriminated whether they are worker representatives or not. 工厂不限制工人自由结社和集体谈判的权利, 工厂里没有建立工会, 工人们也没有和工厂签订集体合同, 但是工人们选举出了员工代表, 根据选举的过程和记录, 2017年3名员工被选举成员工代表。员工可以不受干扰的和员工代表进行交流。此外所有员工无论他们是否是员工代表都不会受到歧视。	
Remarks from Auditee:	
Performance Area 4 : No Discrimination	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: A	Deadline date:
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: Based on the amfori BSCI code of conduct, the auditee had set up their mission, objective and policy on no discrimination. Trainings were provided to new hires upon hiring and refresh training were provided annually. All interviewed workers were free from discrimination. And no discriminated pregnancy testing was conducted for workers, and all employees were equal regardless of their race, age, gender, skin. There was no obvious discrimination accrued in the factory. The employment, salary and position arrangement of workers were not based on sex, age, region, nation, religion etc. 工厂依据amfori BSCI的行为准则建立了非歧视方面方针政策和程序文件。此外新入职员工在入职新员工培训和每年的更新培训会涉及非歧视政策。员工访谈没有汇报歧视方面问题, 工厂也没有要求员工验孕, 所有员工不管什么种族、年龄、性别、肤色都一律平等。工厂没有明显的歧视现象发生, 员工的雇佣、收入和岗位的安排并不基于性别、年龄、地域、民族、宗教信仰等。	
Remarks from Auditee:	
Performance Area 5 : Fair Remuneration	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: C	Deadline date:30/09/2019
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: The auditee respects workers right of getting fair remuneration, wages are differed according to employees' skills and education. Employee manual was established to include but not limited to payment date, terms of payment, etc. All employees are guaranteed with minimum wage. Payroll records from September 2017 to August 2018 were selected and reviewed. All employees were paid with hourly rate with lowest hourly rate of RMB 7.48, which is higher than the local minimum hourly rate of RMB 6.61 implemented since 1 November 2015. Employees were paid in cash at the end of each month for previous natural month, employees also signed on the payroll records for verification. Pay slip was issued to employees. No disciplinary deduction is made. However, gaps have been identified in implementation currently. 工厂尊重员工获得公平报酬的权利, 员工工资根据技能及教育程度体现差别。员工手册里有包涵了不限于工资发放时间, 发放方式, 工资结构等的内容。所有员工都有保证到最低工资。2017年9月到2018年8月的工资表有收集并审核。所有员工都是小时工资, 最低小时工资为每小时7.48元, 高于自2015年11月1日实施的当地最低小时工资每小时6.61元。每个月月底以现金形式为员工发放上个自然月的工资, 员工有在工资表上签字确认, 工资条也有发放。没有任何纪律性罚款出现。然而, 工厂目前仍存在缺失。 5.4 - The auditee was not aware of the fair remuneration collection and calculation to identify possible gaps existing between the actual remuneration and the fair remuneration figure, and to take potential actions to fill the gap. 工厂不了解公平需求工资也未进行其信息收集和计算, 没有办法去识别其实际支付的工资和公平需求工资之间的差距, 并支付公平需求工资。 5.5 - Social insurance was not provided to all employees in the facility. The interviewees reported that they did not want to be provided with social insurance, as they had new rural insurance at home, and it's enough for them to use. The related records of new rural insurance were not available for review. And no commercial insurance was provided to employees. Reference law: Labour Law of P.R.C, Article 72&73. 工厂没有为所有员工提供社保。受访员工汇报他们自己在家有参加新农保, 觉得已经够用了。农保的相关记录无法提供查看。另外, 工厂也没有为员工提供商业意外险。参考法规: 中华人民共和国劳动法第72条, 73条。	
Remarks from Auditee:	

Performance Area 6 : Decent Working Hours	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: D	Deadline date:30/09/2019
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: <p>The auditee respects workers right of decent working hours. Procedure related working hour arrangement and overtime compensation, etc. in the facility was established in employee manual. Face scan system was used to record employees' working hours since around August 2017 as per the facility management. Normal working hour was from 7:30 to 17:00 with 1.5 hours lunch break from 11:30 to 13:00. Regular overtime was conducted for 2 hours from 18:00 to 20:00 for up to 5 times per week according to production requirement. Saturday overtime was conducted for 8 hours whenever applied, and no Sunday or holiday overtime was conducted. Maximum weekly overtime hour detected was 18 hours. Sufficient overtime wage was paid to all employees.</p> <p>工厂尊重员工体面工作时间的权利。工厂员工手册中有关于工作时间安排, 加班费等的政策规定。根据工厂管理, 工厂大概从2017年8月份开始使用人脸识别系统来记录员工的工作时间。正常工作时间安排为7:30到17:00, 午饭休息时间1.5小时从11:30到13:00。平日加班从18:00到20:00的2个小时, 最多每周5次。需要时周六加班8小时, 没有周日及节假日加班。发现的最多周加班为18小时。加班费有足额支付。</p> <p>6.2 - Face scan system was used to record workers' working hours, but the facility did not establish overtime control plan. Workers' overtime hours depended on production task, but one day off per week was guaranteed. Per the testimonies of interviewees, the workshop director would inform them when overtime was needed, but they did not know the overtime limits and how to do when overtime reached the upper limit. Per the provided time records from September 2017 to audit day, the maximum daily OT was 2 hours. The workers' monthly overtime hours exceeded 36 hours for 12 out of 13 months from September 2017 to September 2018. Excessive monthly overtime was detected for 6 out of 6 sampled employees in all the sampled months of March 2018, May 2018, August and September 2018. The maximum overtime hours detected was 66, 60, 66 and 70 hours in the above sampled months respectively. The maximum overtime hours of October 2018 till 10 October, 2018 was 16 hours. (Reference Law: PRC Labour Law article 41).</p> <p>工厂员工采用人脸识别考勤系统记录出勤时间, 但没有建立加班管控计划, 员工的加班取决于生产任务, 但是员工每周休息一天是有保证的。受访员工汇报有加班安排时他们车间主管会通知员工, 他们不了解加班时间的上限及如果达到上限后如何处理。根据2017年9月至审核当天的考勤记录发现, 最大的日加班为2小时, 从2017年9月至2018年9月间13个月中的12个月, 员工的月加班都超过36小时。6名抽样员工中6名在抽样月份2018年3月, 5月, 8-9月的月加班都超过36小时, 最多的月加班时间分别达到66, 60, 66, 70小时。2018年10月(至2018年10月10日止)月加班时间为16小时。(参考法规: 中华人民共和国劳动法第41条)</p>	
Remarks from Auditee:	

Performance Area 7 : Occupational Health and Safety

Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: B

Deadline date:31/12/2018

GOOD PRACTICES:

None 无

AREAS OF IMPROVEMENT:

The auditee has established a Health and Safety Committee. Health and safety risks are clearly identified and they have taken effective measures to prevent workers from having accidents, injuries arising from, associated with or occurring during work and minimize the potential danger that may cause to the workers. Sufficient emergency exits and emergency lights were provided for all used buildings. All evacuation routes were not blocked and evacuation plans were posted in each workshop. Sufficient fire alarm, fire extinguishers and hydrants were installed. The fire and evacuation drills were conducted twice per year and the most recent fire drill was conducted on 10 October 2018. Ventilation, temperature and lighting in the production workshops were appropriate. The facility has one qualified first aid member, and first aid kits with sufficient supplies were available in each workshop. Employees could get access to clean drinkable water whenever needed. Valid health certificate was maintained for the one used cook in kitchen. The facility did not provide transportation or dormitory to employees, thus 7.23 and 7.24 N/A. However, non-compliance was still found in this PA.

工厂成立了健康安全委员会。健康安全风险都有被识别,同时工厂采取了有效措施防止员工发生意外,或是由于工作或工作过程中发生工伤,从而降低工作给员工带来的潜在风险。所有使用的厂房都有足够的安全出口和应急灯。所有的逃生通道均保持畅通,每个车间粘贴了消防逃生图。工厂安装了充足的消防警铃,配备了足够的灭火器/消防栓。消防疏散演习每年进行了两次,最近一次于2018年10月10日进行。车间的通风,温度和光照都很适宜。工厂有一名有资质的急救员,每个车间都有配备足够备品的急救药箱。员工在工厂可以根据需要喝到干净的饮用水。使用的一名厨工持有有效的健康证。工厂没有为员工提供交通及宿舍,因此7.23和7.24不适用。然而,工厂目前仍存在缺失。

- 7.1 - 1. The facility did not conduct the annual occupational factor monitoring. Per onsite observation and management interview, hazardous factor of dust existed in cotton filling section. Reference law: Regulations on monitor and management of occupation healthy in working place (2012), Article 20 2. The facility did not provide pre-job, on-service and post-service occupational health examinations to employees contacting hazardous factor of dust in cotton filling section. Reference law: PRC Law on Prevention and Control of Occupational Diseases (2002) Amendment (2016), Article 35
 1. 工厂没有进行职业病危害因素年度检测。根据现场观察和管理层访谈,工厂的充棉车间存在粉尘的职业危害因素。参考法律法规:工作场所职业卫生监督管理规定 第二十条。2. 工厂没有给接触粉尘的充棉车间员工提供岗前,岗中和离岗的职业病体检。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 - All employees in the facility were not provided with injury social insurance or commercial injury insurance. Reference law: Social Insurance Law of the People's Republic of China, Article:33.
 工厂员工都没有参加工伤保险,也没有参加商业意外险。参考法律法规:中华人民共和国社会保险法,第三十三条
- 7.4 - The factory had conducted regular communication meetings between worker representative and management to discuss the workplace issues, but worker and worker's Representatives were not involved in the risk assessment activity.
 工厂定期召开了员工代表与管理层之间的沟通会议来讨论工作场所问题,但员工和员工代表未参与风险评估。
- 7.6 - Disposable mask instead of dust-proof mask was provided to employee working in cotton filling section with dust hazardous factor. Reference law: Safety Law of the People's Republic of China (2014) Article 42.
 充棉车间工作的员工有接触粉尘危害,工厂提供了一次性口罩而不是防尘口罩给充棉车间员工使用。参考法律法规:中华人民共和国安全生产法第四十二条。
- 7.9 - The facility did not install bulletin boards at eye-catching locations in cotton filling section with dust hazardous factor to publish the regulations and operational procedures for prevention and control of occupational diseases, emergency rescue measures in accidents caused by occupational disease hazards, and the monitoring results of the factors of occupational disease hazards at the workplace. (PRC Law on Prevention and Control of Occupational Diseases (2002) Amendment (2016), Article 24)
 工厂未在有粉尘危害因素的充棉车间的醒目位置设置公告栏,公布有关职业病防治的规章制度、操作规程、职业病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。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 - 1. The facility did not have the Building Fire Safety Approval of one used production building covering around 384 square meters and built in 2008 per the facility management. Other 3 used buildings are less than 300 square meters which does not require the Building Fire Safety Approval. (PRC Fire Protection Law (1998) Amendment (2009) Article 13) 2. The facility did not have the Final Acceptance Inspection Report for all the 4 used buildings. The 4 flat buildings are 50, 150, 266 and 384 square meters respectively, and they were built in year of 2008, 2015, 2008 and 2008 respectively per the facility management. The building looks strong and durable without obvious crack. (PRC Construction Law (1998), Amendment (2011), Article 61)
 1.工厂没有提供厂区内一栋平层建筑的消防验收报告查看。根据工厂管理,这栋房子384平方米,是在2008年建造。其它三栋房子面积不足300平不需要消防验收。参考法规《中华人民共和国消防法》第13条。2.工厂没有提供厂区内所有4栋平层建中的竣工验收报告查看。根据工厂管理,这4栋房子分别50, 150, 266, 384平方米,分别在2008, 2015, 2008 和2008年建造。建筑看起来坚固耐用,没有明显裂缝。参考法规:《中华人民共和国建筑法》第61条。
- 7.13 - One electrical panel in the packing section was fully blocked by materials. The worker in packing section did not know that electrical panel could not be blocked per report. Reference law: General guide for safety of electric user (GB/T 13869-2008), Article 6.5
 包装车间一个控电板被物料完全堵住。据汇报,包装车间的员工不知道电板不能被堵。参考法律法规:《用电安全导则》(GB/T 13869-2008)第6.5条
- 7.16 - Packed cartons and materials were placed against walls in the finished goods warehouse and raw material warehouse. The materials and cartons against wall could not be put out of fire in case of emergency. Reference law: General rules for fire safety management of storage occupancies (GA 1131-2014) 6.8
 工厂成品和原料仓库整箱货物和原料靠墙堆放。靠墙堆放的原料和纸箱在紧急情况下不容易被灭火。参考法律法规:仓储场所消防安全管理通则 (GA 1131-2014)6.8。
- 7.17 - The factory did not have the inspection certificates for the safety valve and the pressure meter of the one used simple compressor vessels. The facility management stated that they would try to apply for the required certificates. (Special Equipment Safety Law of the People's Republic of China Article 39)
 工厂没有所使用的一个简单压力容器的安全阀和压力表的检验证书。工厂管理讲他们会申请相关的检验证书。参考法规《中华人民共和国特种设备安全法》(2014) 第39条
- 7.21 - The facility did not have Food business license for its used canteen and kitchen. (PRC Food Safety Law (2009) Amendment (2015), Article 35)
 工厂使用的食堂没有取得食品经营许可证。(中华人民共和国食品安全法 第三十五条)
- 7.22 - No privacy devices, basic suppliers like tissues and soap were provided in the restroom.
 洗手间没有隐私隔间及基本备品如纸巾和肥皂。

Remarks from Auditee:	
Performance Area 8 : No Child Labour	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: A	Deadline date:
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: The auditee has established procedures on No child labor, and remediation procedures are available in case child labor is found. Age verification mechanism is used upon recruitment to ensure all workers are over 16 years old. Currently, no child labor is detected or reported. Per onsite observation and provided age documents, the employees in the facility were ranged from 29 to 74 years old. 工厂建立了不使用童工和童工补救措施程序文件。招聘过程中工厂有年龄识别体系确保员工都满16岁。审核过程没有发现童工或者汇报童工。根据现场观察和提供的年龄文件, 工厂员工的年龄在29岁到74岁之间。	
Remarks from Auditee:	
Performance Area 9 : Special protection for young workers	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: A	Deadline date:
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: The auditee established procedures on protection of juvenile workers, defined age between 16 years old and 18 years old was young worker in China. The factory didn't reject to hire young worker and the policy indicated that the young worker will be arranged at proper position and no overtime will be conducted if have. Currently, no juvenile workers were hired in the auditee. 工厂建立了保护未成年工的程序文件, 定义了中国规定年龄在16到18周岁的员工为未成年工人。工厂并不拒绝招聘未成年员工并且政策显示如有未成年工, 会被安排在合适岗位并且不允许加班。目前工厂没有用到未成年工。	
Remarks from Auditee:	
Performance Area 10 : No Precarious Employment	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: A	Deadline date:31/10/2018
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: All employees were hired by the facility directly. The auditee signed labor contracts with all employees, and copies of labor contract were also provided to employees. Also they ensure the employment relationship did not cause insecurity and social or economic vulnerability of workers. The interviewed workers were aware of the main content of the labor contract. No dispatched workers, seasonal workers, migrant workers, summer job workers and apprentice workers were used in the factory. However, gaps have been identified in implementation currently. 所有员工都是工厂直接招聘的。工厂跟员工订立了劳动合同也提供了员工合同副本。同时订立劳动关系确保不会给员工带来不安全地位或者是让员工在社会地位或经济地位处于劣势。访谈的员工清楚劳动合同的主要内容, 工厂未使用派遣工、季节工、外劳、暑期工以及学徒工。然而, 工厂目前仍存在缺失。 10.2 - It was noted that terms of occupational hazardous factor of dust in cotton filling section were not included in labor contract of the employee who works in the cotton filling section. Reference Law: Article 33 of Law of the People's Republic of China on Prevention and Control of Occupational Diseases (2017 Amendment). 工厂没有在劳动合同中对充棉员工岗位中接触粉尘职业危害因素进行告知。参考法律法规: 中华人民共和国职业病防治法(2017修正)第三十三条。	
Remarks from Auditee:	
Performance Area 11 : No Bonded Labour	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: A	Deadline date:
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: The auditee has established procedures on no bond labor and all employees are freely to terminate their relationship with the auditee with full wage paid. The factory didn't retain the workers' resident ID or other papers, workers worked overtime voluntarily, go to toilet and having drinking water freely during work and left the workplace freely when shift ended. The factory didn't use prison labor, the factory prohibited any physical harassment and verbal abuse, workers knew how to protect their own rights. 工厂建立了无强迫劳动程序文件, 所有员工都可以自由终止劳动关系并拿到全额报酬。工厂不会扣押工人身份证和其它证件, 工人自愿加班, 在工作中可以自由去厕所和喝水, 工作结束后可以自由出入, 工厂没有使用过监狱工, 工厂禁止肢体骚扰和言语虐待, 工人们知道如何维护自身的权利。	
Remarks from Auditee:	

Performance Area 12 : Protection of the Environment	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: A	Deadline date:30/03/2019
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: <p>The auditee has established procedures and policy on environmental protection. The training regarding environment protection was provided to employees. The production processes of the facility were sewing, manual sewing, cotton filling, inspecting and packing. There was no waste water or waste air generated from production process currently, thus 12.3 was rated as N/A. The reduction policy of waste discharge and save water was in place. However, non-compliance was still found in this PA. 工厂建立了环境保护方面的方针政策。工厂为员工提供了环境保护相关培训。工厂的生产工序包括缝纫, 手缝, 充棉, 检验和包装。生产过程中不会产生废水或者废气, 因此12.3不适用。已经建立减少废弃物和节约用水的政策。但仍有不符合项发现。</p> <p>12.1 - The environmental impact assessment report or environmental impact registration form was not obtained by factory. Reference Law: Environmental Impact Assessment law, Article 16. 工厂未能获得环境影响评价报告或环境影响登记表。参考法律法规: 中华人民共和国环境影响评价法 第16条</p>	
Remarks from Auditee:	
Performance Area 13 : Ethical Business Behaviour	
Full Audit [Audit Id - 135319] Audit Date: 11/10/2018 PA Score: A	Deadline date:
GOOD PRACTICES: None 无	
AREAS OF IMPROVEMENT: <p>The factory had established anti-bribery policy and procedure. The procedure included handling any act of corruption and identified where the major risks of corruption could occur. Training of anti-bribery procedure was provided to workers and management with related records provided. Based on site tour, interview and document review, no any corruption behavior was found. Face scan system was tested, and daily production records, inspection records and leave applications, etc. were reviewed to crosscheck the accuracy of the provided records. No inconsistency was found. 工厂建立了反贿赂政策和程序。程序包括处理腐败行为和主要风险发生点。工厂为员工和管理层提供了反贿赂培训, 相关记录有提供审阅。基于现场走访, 访谈和文件审核, 没有发现腐败行为。审核员测试了人脸识别考勤系统, 审核员查看了日产量记录, 检验记录及请假记录等来交叉验证工厂提供的记录的准确性。没有发现不一致的情况。</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
Full Audit	11/10/2018	135319	D	C	A	A	C	D	B	A	A	A	A	A	A	C

Producer Photos



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



Photo of fire safety equipment
Fire hydrant testing.JPG



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



External photo(s) of the production unit(s)
Facility outlook.JPG



Photo of the canteen (if applicable)
Canteen.JPG



Photo of chemical storage room (if applicable)
Chemical storage with MSDS posted.JPG



Photo first aid facilities
First aid kit.JPG



Photo of the code of conduct on display
COC posted.JPG



Photo of non-conformity
NC-7.13 blocked electrical panel.JPG



Photo of fire safety equipment
Device to keep sliding door open during working hours.JPG



Photo of the inside of the main production hall
Drinking water.JPG



Photo of non-conformity
NC-7.16 Material against wall.JPG



Photo of fire safety equipment
Evacuation plot plan.JPG



Photo of the inside of the main production hall
Face scan testing.JPG



Photo of non-conformity
NC-7.16 Packed cartons in finished product warehouse
against wall.JPG



Photo of fire safety equipment
Exit sign and lights.JPG



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



Photo of non-conformity
NC-7.22 Restroom without privacy and basic suppliers.JPG



Photo of fire safety equipment
Fire alarm testing.JPG



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



Photo of non-conformity
NC-7.6 Improper mask provided.JPG



Photo of fire safety equipment
Fire extinguishers.JPG



Photo of the inside of the main production hall
Manual sewing.JPG



Photo of non-conformity
NC-7.9 Cotton filling area without OHS notice.JPG