

Client	ATS audit	QIMA Service No	R-Cloud-1993727
Maison	N/A	Audit Type	Initial audit
Supplier	Jiafeng Plastic Products Co., LTD	Auditor	Rocky Zhou
Factory	Jiafeng Plastic Products Co., LTD	Date	27-Aug-2019
Industry	Printing & Packaging	Country	China

Audit Compliance level: Need Improvement

	Unacceptable NC	Need Major Improvement NC	Need Improvement NC
Health & Safety, Hygiene	0	0	1
Environment	0	0	0
Child Labor	0	0	0
Hours, Wages & Benefits	0	0	2
Forced Labour	0	0	0
Workers' Rights	0	0	0
Right of Review	0	0	0
Total	0	0	3

NC: Non-Compliances



**CAP + Re-audit within 2
years**

Description of audited plant

The factory is located 6-1 Tanmian Road, Xikeng Village, Henggang Town, Longgang District, Shenzhen City, Guangdong Province, China. It consists of one 3-storey production building and one 4-storey dormitory buildings. The 1st floor of the dormitory building was used as kitchen and canteen for employees.

The main products are cosmetics bag, and the main production processes include cutting, pressuring, sewing and packing. Silk screen printing process is subcontracted by the factory.

Total 93 workers in the factory during the audit.

The management showed a cooperative attitude during the whole process.

Executive Summary

Part 1 Health & Safety, Hygiene

- 1), Most of documents such as fire certificate, risk analysis, fire drill records and photos, training records, occupational hazard factor testing report and occupational health test report and etc were provided for review.
- 2), All fire equipment such as fire extinguishers, fire hydrant, fire hoses, fire alarm, etc was installed in the factory and maintained properly.
- 3), All production machines were installed with adequate safety guards, maintained properly.
- 4), Electrical wires were protected and maintained properly. Related electrician certificate was provided for review.
- 5), Chemicals were stored with adequate secondary containment and safety label, eye wash facility and MSDS.
- 6), Dormitory, kitchen and canteen were maintained well by the factory. **However, no recreation facility is available in the factory.**

Part 2 Waste Management

- 1), Sufficient documents such as Environmental Impact Assessment and related approval, noise level testing report, air emission testing report, etc were provided for review.
- 2), Solid waste, hazardous waste, air emission and wastewater were controlled by the factory.
- 3), Hazardous waste was transferred to a qualified vendor. Waste was maintained properly.
- 4), No industrial wastewater produced by the factory process.

Part 3 Child Labour

- 1), All employees' personal files with ID cards copies were provided for review. No child labor or young workers were identified during this factory visit.
- 2), The factory signed labor contracts with all employees and gave a copy to each employee.

Part 4 Working Hours, Wages and Benefits

- 1), All employees' wages and attendance records of past 12 months (from Aug-2018 to Jul-2019) were provided for review, all sampled workers had one day off in a week and the weekly working hours were within 60 hours/week; the minimum wages of all workers met local minimum wage, and the overtime wages were paid as per legal requirements. **However, the factory did not ensure overtime hours comply with legal requirements.**
- 2), The factory used electronic attendance system (fingerprinting system) to record workers' working times.
- 3), **Not all employees were provided with social insurances.** Other benefits such annual leave and statutory holiday were provided for all employees.
- 4), Wages were paid on the 7th of each month by cash.

Part 5 Forced Labor

1. No any forms of force labor were used by the factory.
2. The anti-forced labor policy and procedure were established and relevant training was provided for all employees.
3. No any forced labor happened or reported in the factory.

Part 6 Workers' Rights

1. No violations were identified regarding the discrimination. Related written procedures and records were available for review.
2. Disciplinary rules were documented on the company regulation
3. No trade union was available in the factory, but four worker representatives were selected. Regular meeting was held every three months between management and union representatives and feasible grievance channel was established to communicate worker's complaint and opinion.

Part 7 Right of Review

The factory was cooperative during this audit and no transparency issue other violations were found.

Other Actions taken by factory on CSR

Nil

Home Workers and Subcontractors

Is there any home workers used by factory? **No**

If yes, description: Nil

Is there any subcontractor used by factory? **Yes**

If yes, description: Silk screen printing process is subcontracted by the factory.

Below is detail information of the subcontractor.

Name: Shenzhen Fuxingmei Printing Co., Ltd.

Address: Lijia Road, Henggang Street, Longgang District, Shenzhen City, Guangdong Province, China

Contact: Mr. Liu

Tel: 86-755-28601166

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Number of days spent: 1 Man-day



Auditor 1: Rocky Zhou

Supervisor: Alex Lau

Departure time from home / office

Arrival time at Factory

Departure time from Factory

7:00

9:30

17:00



Map & GPS



Factory Gate



Factory Name



Address Nameplate



Factory Building



Production Line-Cutting



Production Line-Pressuring



Production Line-Sewing



Production Line-



Sample Room



Office



Business License



Workers on site



Workers on site



Raw material in the factory



Final product

A. Observation & Questions

Basic Factory Profile

Item		Finding		Comments	
1	Date of formation	14-Apr-2009			
2	Legal status	Limited Company			
3	Location	6-1 Tanmian Road, Xikeng Village, Henggang Town, Longgang District, Shenzhen City, Guangdong Province, China			
4	GPS Location	22.620 N, 114.226 E			
5	Area (m2)	2300 square meters			
6	Owner	Zou Yinying			
	Contact person	Name	Baocang	Surname	Lin
		Position	General Manager		
		Mail	lam@jiafengpvc.com		
		Phone number	86-755-28619986		
7	Total staff in the factory	93			
8	Total office staff	10			
9	Total Management staff	8			
10	Number of workers	Total: 75		%Male : 40%	% Female : 60%
10.a	Migrants Workers	50			
10.b	Young workers	0			
10.c	Contractor used	0			
10.d	Permanent workers	Total: 75		% Age<16 : 0	% Age >=16 : 100%
10.e	Temporary workers	Total: 0		%Male : 0	% Female : 0
11	Factory Manager	Lin Baocang			
12	Health and Safety Manager	Lin Songlin			
13	Main products	Cosmetics bag			
14	Main markets	Europe and US			
15	Annual turnover	2016: USD 12 Million 2017: USD 12 Million 2018: USD 10 Million			
16	Business license	Date of issue: 14-Apr-2009		License No.: 91441903006875687853	
		Expiry date: 14-Apr-2029			
17	Payroll records of all employees	12 months’ payrolls from Aug, 2018 to Jul, 2019 reviewed.		Wages were paid on the 7 th of the following month by cash. Dec, 2018, Mar, 2019 and Jul, 2019 were taken as samples.	
18	Time cards for all employees	13 months’ time records from 01-Aug-2018 to 27-Aug-2019 reviewed		Factory used fingerprinting system to record workers’ working times. Dec, 2018, Mar, 2019 and Jul, 2019 were taken as samples.	
19	Subcontractors	Silk screen printing process is subcontracted by the factory.		The subcontractor information is as below: Name: Shenzhen Fuxingmei Printing Co., Ltd.	

				Address: Lijia Road, Henggang Street, Longgang District, Shenzhen City, Guangdong Province, China Contact: Mr. Liu Tel: 86-755-28601166
20	Communication equipment	Telephone	86-755-28619986	
		Fax	86-755-28618769	
		Computer	25 sets	
		Internet	100M FTTH	
		Homepage	www.jiafengpvc.com	
		Digital camera	Nil	

Part 1 Health & Safety, Hygiene

1. General

Item No	Requirement	Result	Comments
1.1	Is a risk analysis conducted to identify the risks associated with production and is this risk analysis reviewed regularly and updated when necessary?	Pass	The factory had conducted a risk analysis to identify the risks associated with production, and the records were provided for review.
1.2	Is there a senior management representative for Health & Safety?	Pass	There was a senior management representative for Health & Safety/Mr. Lin Songlin. Safety officer appointed document was available for review.
1.3	Does the factory arrange health and safety training for new workers and for everyone who changes working roles?	Pass	The factory arranged health and safety training for new workers within one week while recruited.
1.4	Does the factory have a working environment that is well-ventilated, comfortable temperature, decent lighting, clean, tidy and enough room for each worker? If there are any possible issues that would impact the health of the worker, please give details.	Pass	The factory had a working environment that is well-ventilated, comfortable temperature, decent lighting, clean, tidy and enough room for each worker, and the occupational hazard factor reports and occupational examination reports were provided for review.
1.5	Do all the workstation and position are ergonomics ? (joins in neutral position, no bending forward, limit of weight for lifted items...)	Pass	Observation during factory tour, auditor found that all the workstation and position are ergonomics.
1.6	Are all serious work-related accidents reported and recorded and corrective actions taken to prevent recurrence of work-related accidents?	Pass	There was a work-related accidents procedure in place and work-related injury records were available. And based on document review and workers interview, only minor injury was occurred in the past year.
1.7	Is appropriate and adequately maintained personal protective equipment (PPE) provided by the factory?	Pass	Based on site observation, proper PPEs such as mask and earplugs were provided to relevant workers.
1.8	Have workers been trained in the use of PPE and are using provided equipment correctly?	Pass	The workers had been trained in the use of PPE and were using the provided PPEs while operating.
1.9	Do workers have access to an adequate amount of fresh drinking water?	Pass	The factory had provided the employees with adequate drinking water and valid testing report was also provided for review.
1.10	Is there an adequate number of first aid kits?	Pass	The factory had installed first aid kit at each work floors; there were total 6 first aid kits in the facility workshops.
1.11	Are first aid kits easily accessible and clearly marked and the content within the expiry date, applicable and replaced when used?	Pass	First aid kits were easily accessible and clearly marked, all first aid suppliers are valid.

1.12	Are adequate workers trained on first aid? Specify the number of trained personnel at the factory	Pass	There were 2 trained first aiders in the factory with relevant training record.
1.13	Are lavatory and or washroom facilities, clean, well maintained, adequate in number, separated by sex, and with relevant privacy?	Pass	The lavatory and washrooms were found well clean, maintained, adequate in number, separated by sex, and with relevant privacy. Remark: Total 6 toilets for males, 6 toilets for females.

Picture(s)

深圳市嘉丰达塑胶制品有限公司
社会责任与商业道德风险识别与评估表

序号	风险类别	风险因素及危害影响描述	严重性及影响程度	发生频率	法律法规	涉及范围	总得分	风险等级	拟采取的预防措施
1	劳工	加班加班	2	3	6	3	14	√	制定程序, 加班自愿
2	劳工	招聘时没有识别出童工及未成年工实施年龄, 违反禁用童工及未成年工保护法	7	2	6	2	17	√	招聘时严格检查身份证, 招聘人员应能识别身份证, 并具备一定的专业技能或工作经验
3	劳工	禁止对工作时间超时	5	3	6	5	21	√	做好生产计划安排, 确保符合要求
4	劳工	工资支付延迟	5	3	6	6	20	√	财务人员提前做好核算, 防止出现拖欠工资现象
5	劳工	生产车间管理人员对员工进行辱骂, 威胁或体罚等不当行为	2	2	2	2	8	√	由人力资源部定期调查, 与员工代表沟通, 防止不当行为发生
6	劳工	招聘时出现性别及年龄歧视, 乙肝及怀孕歧视	3	2	6	2	13	√	招聘人员应接受过专业培训, 了解各种歧视及禁忌发生的情况, 在招聘广告中, 应明确禁止进行任何形式的不当歧视
7	劳工	员工代表由于代表员工发表意见或投诉而受到不公平待遇	2	2	2	2	8	√	人力资源部定期调查, 与员工代表沟通, 防止不公平待遇发生
8	劳工	工作环境温度过高, 导致中暑	2	3	3	3	11	√	加强通风, 夏季做好防暑工作, 及时增加通风, 做好工作
9	劳工	设备维修时出现意外启动, 导致重大伤害	6	2	5	2	15	√	加强设备维修安全操作规范培训, 确保设备维修时设备上的所有危险下不能启动
10	健康与	员工不依工作要素配戴相应的劳动保护用品	10	6	2	3	22	√	加强培训, 个人防护用品保护



Risk analysis records

Safety officer certificate

深圳市粤环科检测技术有限公司
Occupational Hazard Factor Report

序号	检测项目	检测结果	主要问题
1	噪声	55.0	生产区域
2	生产区域1.1.1	55.0	生产区域
3	生产区域1.1.2	55.0	生产区域
4	生产区域1.1.3	55.0	生产区域
5	生产区域1.1.4	55.0	生产区域

检测结果: 噪声: 55.0dB(A)

主要问题: 生产区域噪声超标

整改措施: 1. 加强设备维护, 降低噪声; 2. 加强员工培训, 提高环保意识; 3. 加强现场管理, 减少噪声源。

深圳市粤环科检测技术有限公司
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4	生产区域1.1.3	55.0	生产区域
5	生产区域1.1.4	55.0	生产区域

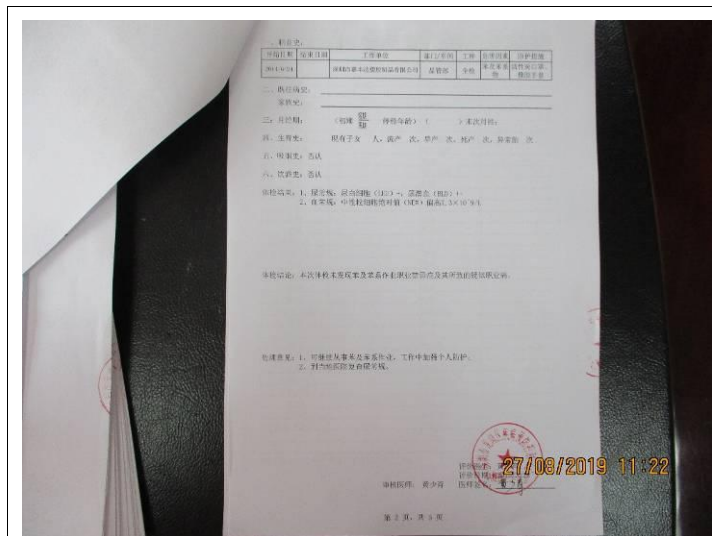
检测结果: 噪声: 55.0dB(A)

主要问题: 生产区域噪声超标

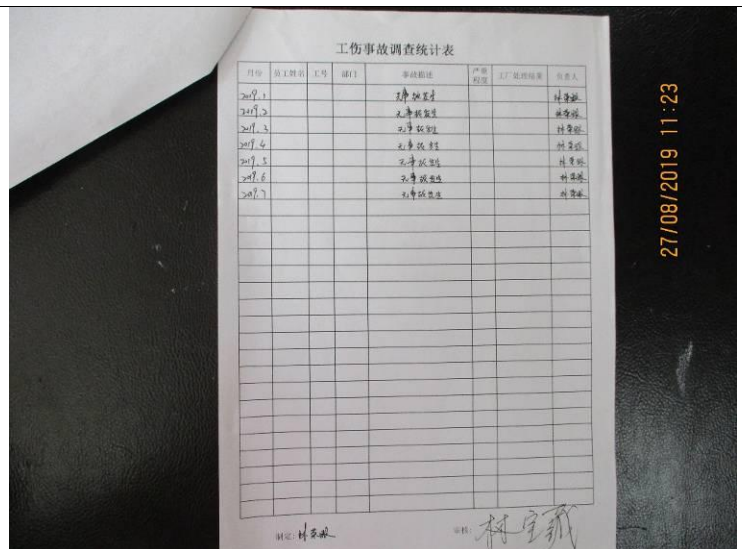
整改措施: 1. 加强设备维护, 降低噪声; 2. 加强员工培训, 提高环保意识; 3. 加强现场管理, 减少噪声源。

Occupational hazard factor report

Occupational hazard factor report



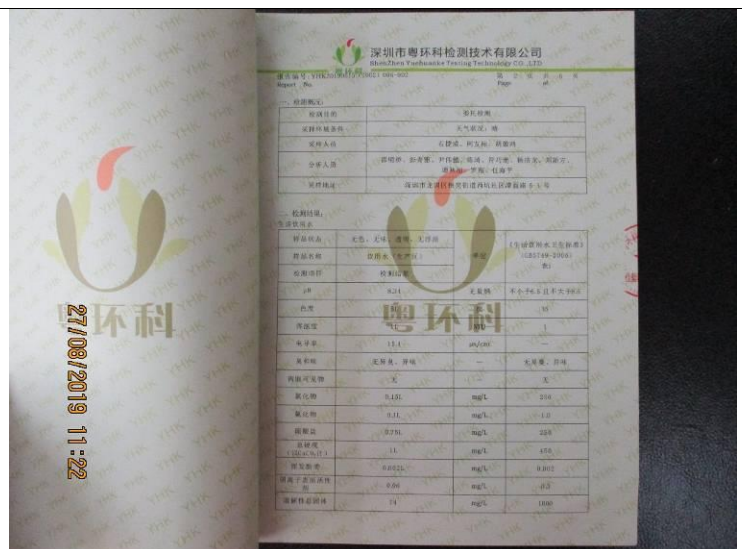
Occupational examination report



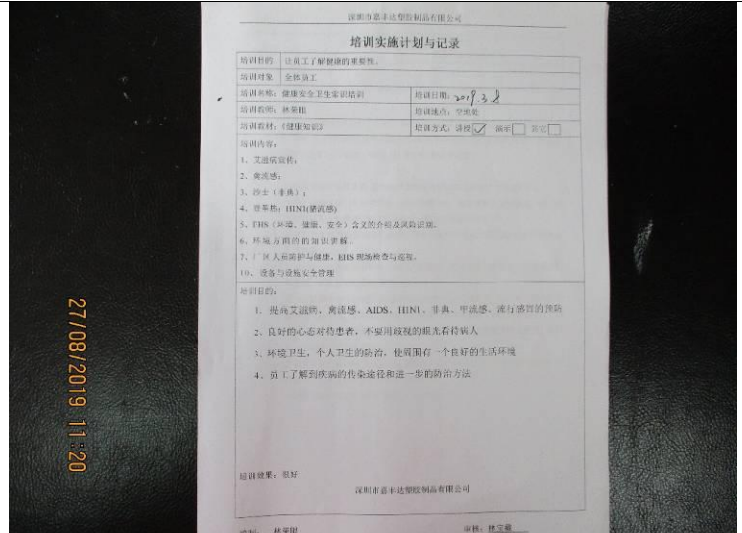
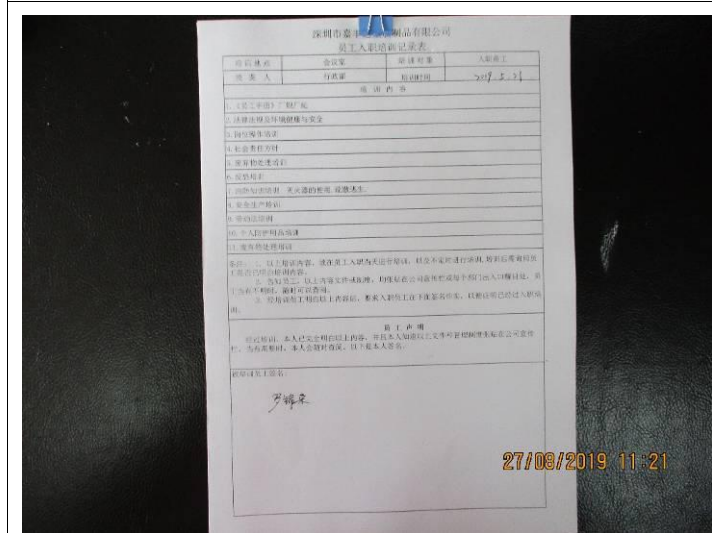
Injury record



Drinking water equipment



Drinking water test report



Training record for new worker



Training record



PPEs for worker



PPE signs



First aid kit



First aid certificate

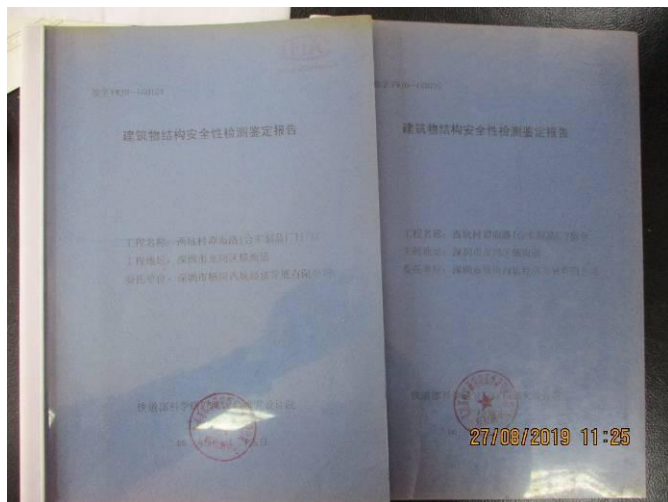
Nil

Toilet

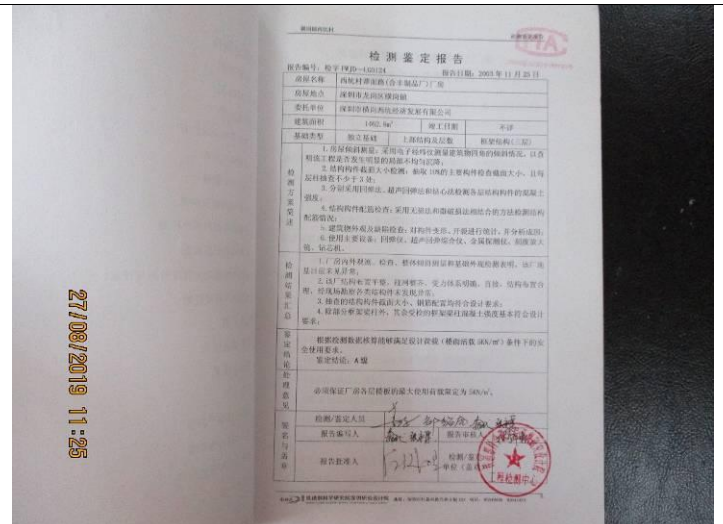
2. Building Safety

Item No	Requirement	Result	Comments
1.14	Are legal construction certificates (building structure) available?	Pass	The Building Structure Safety Certificates for all buildings were provided for review during the audit.
1.15	Are all site buildings, including dormitories maintained in good condition without posing a threat to the health of workers?	Pass	The factory building was maintained in good condition without posing a threat to the health of workers.

Picture(s)



Building Structure Safety Certificate



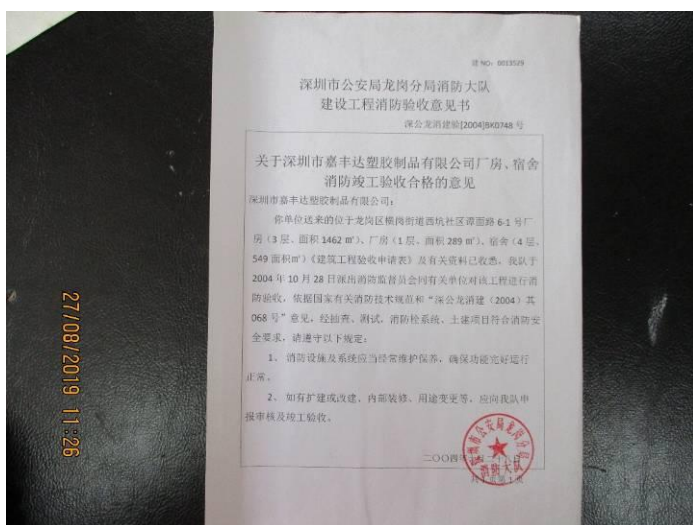
Building Structure Safety Certificate

3. Fire Safety

Item No	Requirement	Result	Comments
1.16	Does the factory have adequate unblocked fire exits for every factory workshop/floor?	Pass	At least 2 fire exits with unblocked or unlocked were available for every workshop and warehouse.
1.17	Has the factory been certified by the local fire bureau, and made efforts to comply with recommendations from audits?	Pass	The factory had obtained Fire Safety Certificates from local fire bureau for all buildings in the factory.

1.18	Are there an adequate number of fire extinguishers and or other fire extinguishing systems in each building (including the dormitories)?	Pass	There are sufficient fire extinguishers and fire hoses for all production areas. The total amount of fire extinguishers was 32 fire hydrants were 13 and fire alarms were 7.
1.19	Are all fire extinguishing systems (including fire hoses) inspected, maintained properly and ready to use at all times?	Pass	The facility has periodically (monthly) maintained the fire extinguishers, fire hydrants and fire alarm. And the maintenance records were posted nearby and the latest checking was in Aug-2019.
1.20	Are fire drills conducted regularly?	Pass	The facility has conducted fire drill twice per year and the latest two fire drills were conducted on 8-Oct-2018 and 8-Mar-2019 respectively.
1.21	Are there fire alarms on each floor and adequate emergency lighting above exits and in working order?	Pass	Based on site observation, adequate fire alarm was installed at each production floor, and emergency lighting and exit sign were installed above most exits.
1.22	Are there fire/evacuation procedures in place with relevant evacuation plans posted in every workshop?	Pass	Evacuation map was posted on the work floors. Evacuation line was also clearly marked on each work floors.
1.23	Are smoke detectors/sprinklers installed in all workshops/warehouses?	N/A	No smoke detector and sprinkler were installed at the warehouse/workshops, which is not a requirement for this type factory by law.

Picture(s)



Fire safety certificate



Hydrant and fire alarm



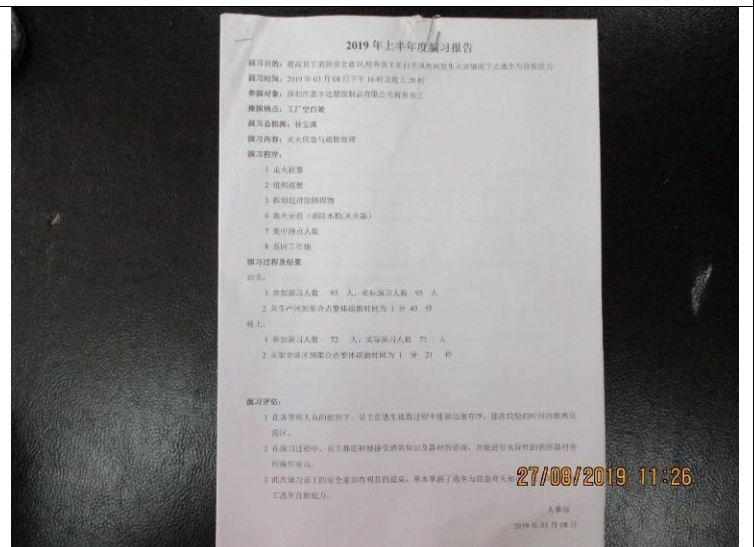
Extinguishers



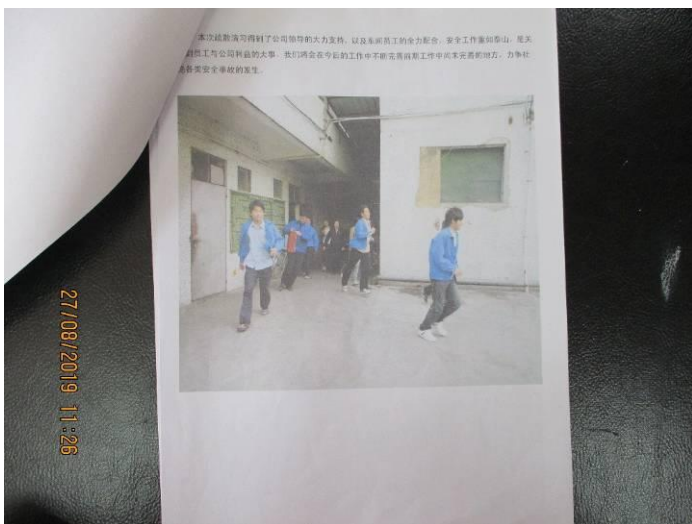
Inspection records



Emergency exit marked with emergency light and exit sign






Fire drill record



Fire drill record	Fire drill record
	
Evacuation line was also clearly marked on each work floors.	Evacuation map

4. Machines/Installations

Item No	Requirement	Result	Comments
1.24	Does the factory have appropriate maintenance/inspections for boilers, elevators, pressure vessels and other equipment per local regulation?	N/A	No special equipment used in the factory.
1.25	Are adequate guarding or devices installed for moving/rotating parts of machine, pulleys and belts or any other dangerous parts of machines?	Pass	All production machines were installed with adequate guarding or devices.
1.26	Are all electricians, welding operators and forklift drivers and other employees who operate special equipment trained and qualified per local regulations?	Pass	There was one qualified electrician to deal with the electricity in the factory. And the certificate was provided for review during the audit date.
1.27	Are all electrical wires in the facility adequately protected?	Pass	During factory tour, auditor found that all electrical wires were adequately protected by tubes and electrical boxes were installed with protective cover.
1.28	Are there appropriate warning signs and written instructions for the operators of machinery?	Pass	The warning signs and written instructions were available for machines in the factory.
1.29	Do operators of machinery get training about safety regulations and operating procedures?	Pass	Workers operate machines are provided with training safety regulations and operating procedures.

Picture(s)	
	
Electrician certificate	Electrical box without protection cover
	Nil
Finger protective device	

5. Hazardous Materials

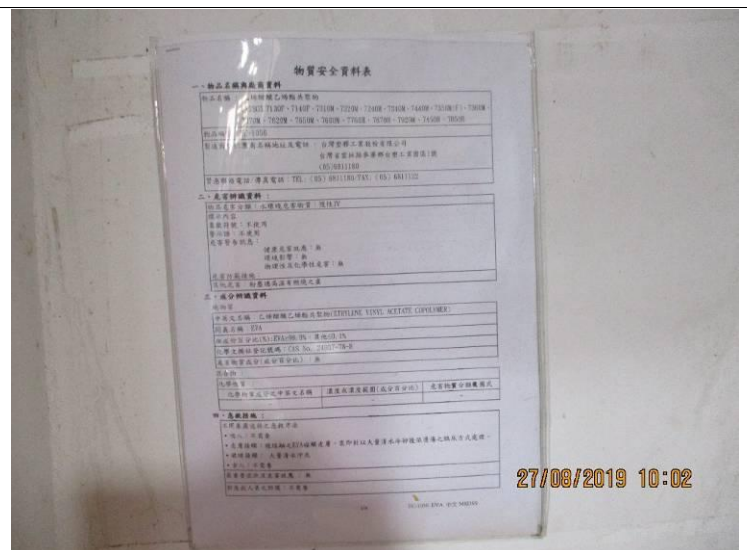
Item No	Requirement	Result	Comments
1.30	Are hazardous materials / chemicals properly stored, with relevant container and secondary container?	Pass	Based on site observation, only little chemical such as thinner used in the factory, and there are explosion-proof cabinets to store them with secondary containment and safety label.
1.31	Does the factory have MSDS and warning / "No Smoking" signs for each chemical products?	Pass	MSDS was available for chemical used and stored areas.

1.32	Are these materials only accessible to competent employees ?	Pass	The chemicals were controlled by the pointed warehouse keeper.
1.33	Are the designated employees properly trained for the handling of these hazardous materials ?	Pass	The chemical use training was conducted at least once per year, and related training records were provided for review.

Picture(s)



Chemicals stored with secondary containment



MSDS



Eye wash facility



Proper safety label

6. Canteen and Dormitories (if Applicable)

Item No	Requirement	Result	Comments
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1.34	Are the factory kitchen and canteen clean and hygienic with adequate facilities and the required permits and certificates, including canteen staff health certificate?	Pass	The factory obtained valid permit for the kitchen and canteen, there were 3 staffs in kitchen and canteen, and all of them had obtained healthy certificates.
1.35	Are workers' dormitories separated from production's building and/or warehouse?	Pass	Based on site observation, no workshop or warehouse was located in the dormitory building.
1.36	Are all exits unblocked and unlocked at all times for emergency evacuation in dormitories?	Pass	All the emergency exits are unblocked and unlocked.
1.37	Are workers free to exit & re-enter dormitory freely? Please provide details of any limitations.	Pass	The employees are freely exit or re-enter the dormitory. Confirmed by workers interviews.
1.38	Does each worker have adequate living space? Please indicate the space per worker and number of workers per room.	Pass	All the employees are having sufficient space and about 5-6 employees share one room. Each room was about 25 m ² .
1.39	Are the dormitories clean? Are there adequate toilets with hand basins available to workers at adequate distance at dormitory? Are there adequate bathrooms available to workers at dormitory? Are sanitary areas clean and hygienic with available washing facilities.	Pass	The dormitory is clean and every room and toilet and bathroom was also provided.
1.40	Are there recreation areas for the workers?	Need Improvement	No recreation facility was available in the factory.

Picture(s)



Dormitory building



Kitchen



Canteen



Permit for kitchen and canteen



Health certificates for kitchen staffs

Bedroom

Special Remarks on this section

1), Most of documents such as fire certificate, risk analysis, fire drill records and photos, training records, occupational hazard factor testing report and occupational health test report and etc were provided for review.
2), All fire equipment such as fire extinguishers, fire hydrant, fire hoses, fire alarm, etc was installed in the factory and maintained properly.
3), All production machines were installed with adequate safety guards, maintained properly.
4), Electrical wires were protected and maintained properly. Related electrician certificate was provided for review.
5), Chemicals were stored with adequate secondary containment and safety label, eye wash facility and MSDS.
6), Dormitory, kitchen and canteen were maintained well by the factory. **However, no recreation facility is available in the factory.**

Unacceptable NC	Need major improvement NC	Need improvement NC	Compliance level of the section
0	0	1	Need improvement

Part 2 Environment

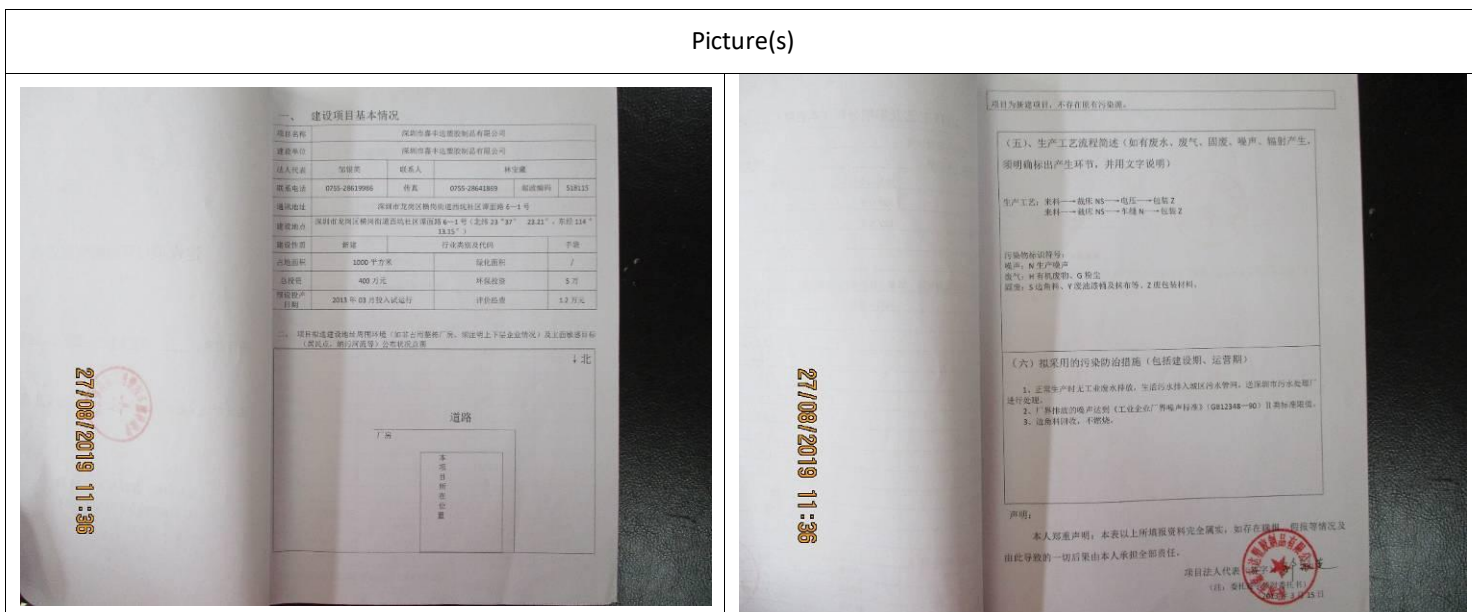
1. Environmental management and awareness

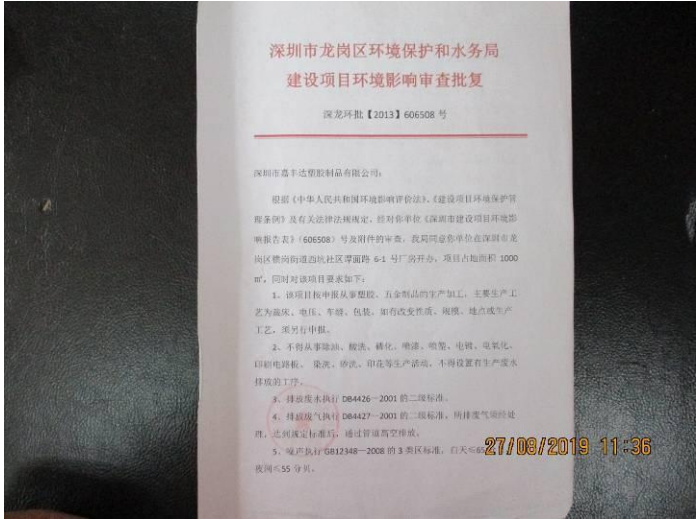
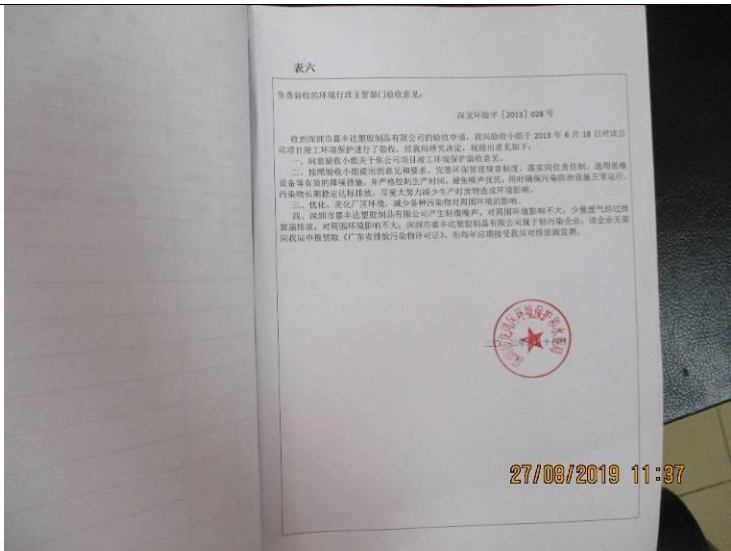
Item No	Requirement	Result	Comments
2.1	Does the factory have a policy or guideline defining its approach to managing environment ?	Pass	The factory had established the environment policy, manual and procedure.
2.2	Does the factory show understanding and awareness of the environmental impacts of its site ?	Pass	The factory evaluated the environmental impacts caused by their production activities and well knew the environmental requirement.
2.3	Does the factory has any environmental certification or had environmental audit before ? <i>Please give details</i>	N/A	No environmental certificate is obtained by the factory. No local law requirement.

2. Legal Authorization

Item No	Requirement	Result	Comments
2.4	Does factory have a valid Environmental Impact Assessment (where applicable)?	Pass	The factory had provided environmental impact register form during the audit, and the factory had obtained environmental impact report approval issued by local environmental authority.
2.5	Does factory have a valid Approval Report of Environmental Impact Assessment, or relevant legal document to start operations?	Pass	The factory had provided environmental impact register form during the audit, and the factory had obtained environmental impact report approval issued by local environmental authority.
2.6	Does factory maintain a valid Pollutant Discharge Permit or equivalent, where applicable?	N/A	Pollutant Discharge Permit was not available by the factory. No local law requirement.

Picture(s)

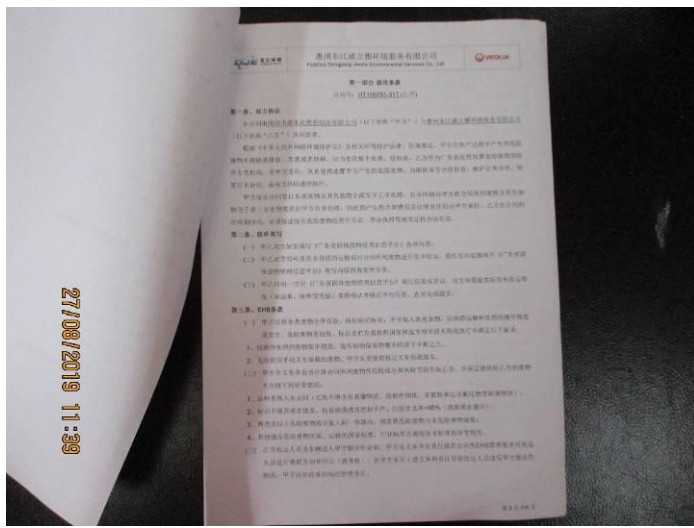


EIA report	EIA report
	
EIA approval	Acceptance approval for environmental facilities

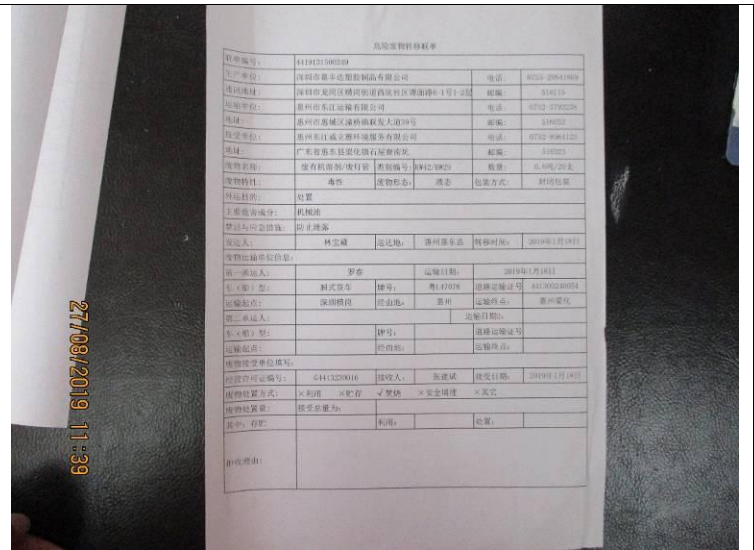
3. Solid and Hazardous Wastes

Item No	Requirement	Result	Comments
2.7	Does factory inventory all solid wastes, including kind, sources, and quantities?	Pass	The factory had established effective solid wastes inventory including kind, sources and quantities.
2.8	Does factory adequately separate recyclable from non-recyclable wastes in workshops/warehouses?	Pass	The factory had separated recyclable from non-recyclable wastes in warehouses.
2.9	Can factory prove that they have taken actions to reduce/recycle/re-use solid wastes as much as possible? <i>Describe the actions taken</i>	Pass	The factory has reduce/recycle/re-use solid wastes in the factory, such as all waste oil papers were recycled and re-used.
2.10	Does factory inventory all hazardous wastes, including kind, sources, and quantities?	Pass	The factory had established effective hazardous wastes inventory.
2.11	Does factory store hazardous wastes in a relevant ways, closed, with control access and ensure it cannot spill?	Pass	Hazardous wastes were stored in the designed area with control access.
2.12	Is factory able to prove that hazardous wastes are transferred to 3rd party with relevant certifications, and keep records of wastes transfer including quantities?	Pass	All hazardous wastes such as waste oil rag were recycled by different 3rd qualified vendors, the transferring agreements were provided for review, the latest transfer record was on 18-Jan-2019.

Picture(s)



Transferring agreement for hazardous waste



Transfer record



Recyclable from non-recyclable waste had been separated.



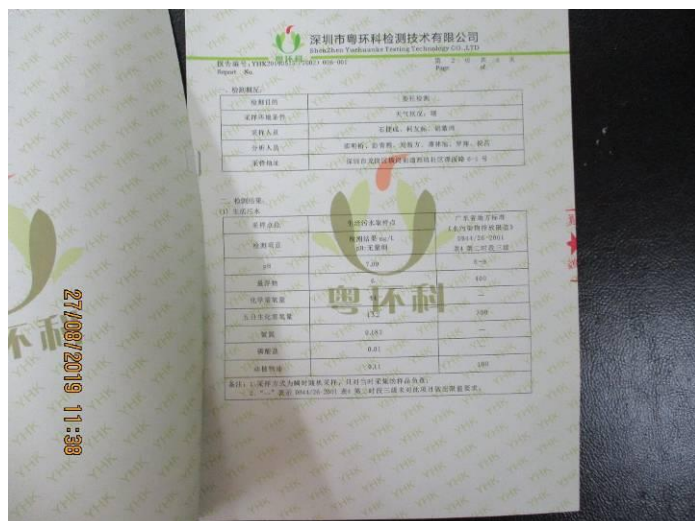
Solid wastes inventory

4. Waste Water, Air Emissions and Noise

Item No	Requirement	Result	Comments
2.13	Does factory inventory all waste water, including domestic waste water and industrial waste water, with sources and quantities?	Pass	The factory had established waste water inventory including domestic waste water.
2.14	If applicable, is factory able to demonstrate that waste water is treated adequately before discharge, with relevant equipment and trained staff?	N/A	The facility does not discharge industrial waste water, so treatment is not required.
2.15	Is factory able to demonstrate that waste water at discharge point is meeting the local standards requirement (through lab testing reports)?	N/A	The facility does not discharge industrial waste water, so testing of waste water is not required.

2.16	When observing waste water discharge point, does water seem to have color or odor on audit day?	N/A	Domestic waste water only, verified from inspection records from local environmental protection bureau and on site view.
2.17	Does factory inventory all air emissions, with sources and identification of treatment needed?	Pass	The factory had established the air emission inventory, with sources and identification of the treatment needed.
2.18	Is factory able to demonstrate that air quality at factory's boundaries is meeting the local standards requirement (through lab testing reports)?	Pass	Based on lab testing report that all air emissions was met the local standard requirements (last testing report on 27-May-2019).
2.19	On audit day, is there any smell, fog, or dust observed by auditor on factory's direct environment, linked to factory's activity?	Pass	No smell, fog, or dust observed by auditor on factory's direct environment.
2.20	Is factory able to demonstrate that noise level at factory's boundaries is meeting the local standards requirement (through lab testing reports)?	Pass	Based on lab testing report that the boundaries noise level was met the local standard requirements (last testing report on 27-May-2019).

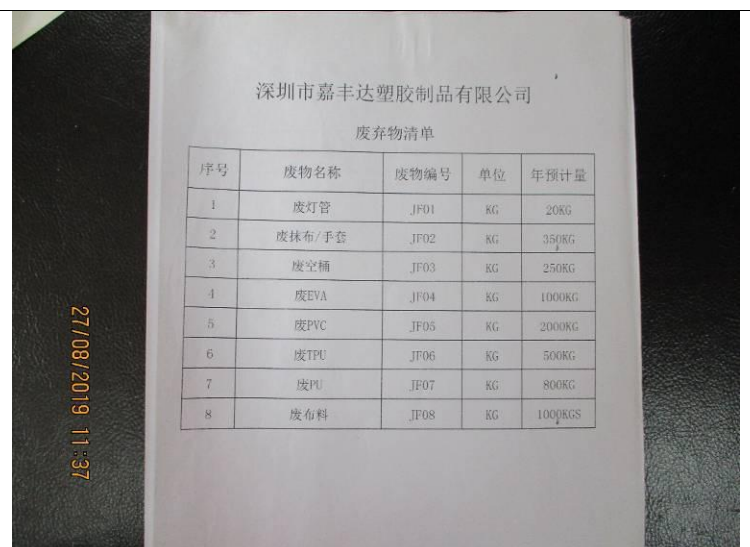
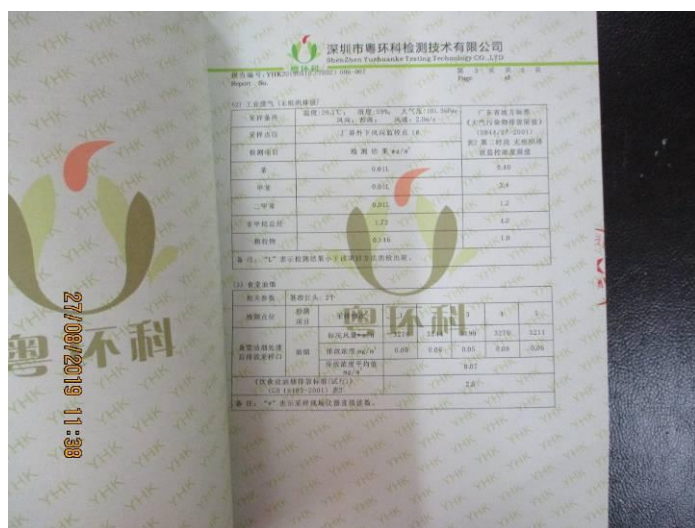
Picture(s)



Wastewater monitoring report



Boundaries noise level monitoring report

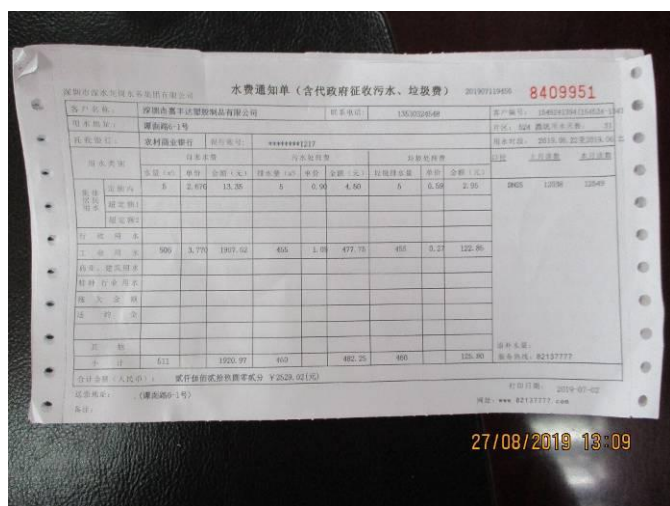


Air emission monitoring report	Hazardous waste inventory
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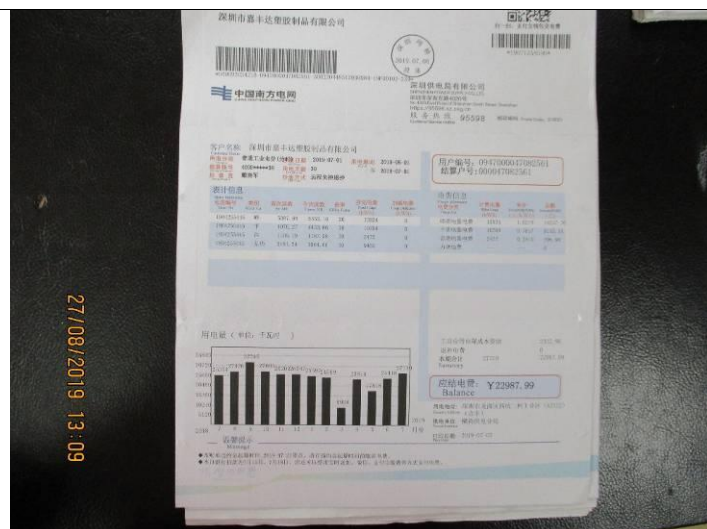
5. Energy and Water reduction

Item No	Requirement	Result	Comments
2.21	Can factory demonstrate that energy use is monitored and that actions have been taken to reduce energy use? <i>Describe the actions taken</i>	Pass	The factory had monitored energy use and takes some actions to reduce energy use. For example, shut down power switch timely.
2.22	Can factory demonstrate that water use is monitored and that actions have been taken to reduce water use? <i>Describe the actions taken</i>	Pass	The factory had monitored water use and takes some actions to reduce water use. For example, all workers should turn off the tap after using.

Picture(s)



Water monitoring record



Energy monitoring record

Special Remarks on this section

- 1), Sufficient documents such as Environmental Impact Assessment and related approval, noise level testing report, air emission testing report, etc were provided for review.
- 2), Solid waste, hazardous waste, air emission and wastewater were controlled by the factory.
- 3), Hazardous waste was transferred to a qualified vendor. Waste was maintained properly.
- 4), No industrial wastewater produced by the factory process.

Unacceptable NC

Need major improvement NC

Need improvement NC

Compliance level of the section

0	0	0	Acceptable
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Part 3 Child Labour

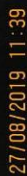
1. Child Labour

Item No	Requirement	Result	Comments
3.1	Does the factory complies with the legal minimum age ? Please note the age of the youngest worker found.	Pass	16 years old with restriction and the youngest employee is 19 years old in the factory who born on 28-Dec-1999 and hired on 21-May-2019.
3.2	Does the factory have effective procedures such as verifying suspected young worker documents to confirm the correct age of the worker at the time of recruitment?	Pass	The factory has established the procedure to verify the age of employees. Age document was checked together with the employee statement before recruitment.
3.3	Does the factory sign contracts with all workers and keep copies or records of ID documents of workers or similar way to check age?	Pass	The factory signs contracts with the workers and keeps copies or records of ID documents of workers to check age.
3.4	Does the factory have understand the requirements of laws and regulations on child labour and young workers? If so, is there a written child labor policy?	Pass	The factory understands the requirements of laws and regulations on child labour and young workers. The procedure was also established.

2. Young Workers

Item No	Requirement	Result	Comments
3.5	Are young workers exempted from hazardous work?	N/A	No young worker was employed in the factory.
3.6	Are young workers exempted from night shift?	N/A	No young worker was employed in the factory.
3.7	Are young workers exempted from overtime?	N/A	No young worker was employed in the factory.
3.8	Are young workers registered and given annual health checks?	N/A	No young worker was employed in the factory.

Picture(s)

[illegible]

Labor contract

2), The factory signed labor contracts with all employees and gave a copy to each employee.

Acceptable

Part 4 Working Hours, Wages and Benefits

1. Working Hours

Item No	Requirement	Result	Comments
4.1	Do the working hours of individual workers comply with local regulation? Do the working hours exceeds the international recommendation of 60 hours / week ?	Need Improvement	<p>Legal normal working hours: 8 hours/day, 40 hours/week Legal overtime hours: 3 hours/day, 36 hours/month</p> <p>Based on management interview and document review, the peak season in the factory was not obvious in the factory.</p> <p>Attendance records from 1-Aug-2018 to audit day were provided, of Jul, 2019 (current month), Mar, 2019 and Dec, 2018 (random months) were taken as samples.</p> <p>The daily overtime working was detected for 10 sample employees in Jul, 2019 (current month), Mar, 2019 and Dec, 2018 (random months), with the maximum daily overtime up to 3 hours, 3 hours, 3 hours respectively.</p> <p>The weekly working was detected for 10 sample employees in Jul, 2019 (current month), Mar, 2019 and Dec, 2018 (random months), with the maximum daily overtime up to 55 hours, 57 hours, 55.5 hours respectively.</p> <p>The factory did not ensure overtime hours comply with legal requirements.</p> <p>Based on review the attendance records from 1-Aug-2018 to 27-Aug-2019 of the factory, the monthly overtime hours for 10 out of 10 sampled workers were 42-68 hours in Dec, 2018 (random month), the monthly overtime hours for 10 out of 10 sampled workers were 52-68 hours in Mar, 2019 (random month), the monthly overtime hours for 10 out of 10 sampled workers were 40-60 hours in Jul, 2019 (current month).</p>
4.2	Do workers have 1 day off within 7 days (or 2 days off within 14 days where applicable)?	Pass	Based on reviewing the provided attendance records from 1-Aug-2018 to the audit date, it was noted that all sampled workers could enjoy one day off in a week. The maximum consecutively working day was 6 days in the factory.
4.3	Does the factory record the working hours of individual workers in a reliable manner?	Pass	The factory had electronic attendance system (fingerprinting system) to record the working hours.
4.4	Are workers given reasonable time for lunch and rest breaks?	Pass	The normal working hours in the factory were 8 hours per day 5 days per week. All workers were conducted for one shift, 8:00-12:00, 13:30-17:30, OT from 18:30-21:30 at most. Worker needed to work overtime on Saturdays sometimes, but never on

			Sundays.
4.5	Are workers assigned overtime on a voluntary basis?	Pass	As per the interviewed employees, overtime was conducted on a voluntary basis.
4.6	Do workers have legal vacation, national holidays and paid leave?	Pass	The employees can enjoy their legal vacation and national holiday.

Picture(s)



Attendance recorder

考勤明细表

日期	工号	姓名	部门	签到	签退	打卡次数	迟到	早退	请假	加班	备注
2019-07-01	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
2019-07-02	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
2019-07-03	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
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2019-07-05	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
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27/08/2019 13:16

考勤明细表

日期	工号	姓名	部门	签到	签退	打卡次数	迟到	早退	请假	加班	备注
2019-03-01	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
2019-03-02	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
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2019-03-05	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
2019-03-06	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
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2019-03-12	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
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2019-03-14	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
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2019-03-29	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
2019-03-30	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
2019-03-31	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	

27/08/2019 13:16

Attendance records-Mar, 2019: The factory did not ensure overtime hours comply with legal requirements

考勤明细表

日期	工号	姓名	部门	签到	签退	打卡次数	迟到	早退	请假	加班	备注
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2018-12-02	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
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2018-12-11	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
2018-12-12	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
2018-12-13	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	
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2018-12-31	8002	黄文强	生产部	08:00	17:00	2	0	0	0	0	

27/08/2019 13:16

Attendance records-Dec, 2018: The factory did not ensure overtime hours comply with legal requirements

2. Wages and Benefits

Item No	Requirement	Result	Comments
5.1	Is there any evidence that the legal minimum wage is not paid for regular working hours ? Please specify	Pass	Local legal minimum wage was RMB 2130 per month which equivalent to RMB 12.24 per hour before 1-Aug-2018. Per document review, 12 months' payrolls records from Aug, 2018 to Jul, 2019, the minimum wage in the factory for workers was at least RMB 13.5/hour; which was above the local minimum wage requirements.
5.2	If workers are paid by piece rate, is there any written guarantee that minimum salary will be paid ?	N/A	As per documents review, employees interview, all employees were paid at hourly rate basis.
5.3	Are overtime hours paid with legal premium?	Pass	Overtime hours were paid with legal premium. 150% of normal wages for overtime on weekdays; 200% of normal wages for overtime on rest days; no overtime work on holidays.
5.4	Does the factory have written employment conditions on compensation, compensation methods and benefits that is communicated to and understood by all workers?	Pass	The factory has a clear written employment conditions on compensation, compensation methods and benefits that is communicated to and understood by all workers.
5.5	Is the payment paid at a reasonable and legal frequency (monthly), and in a form convenient for workers (cash, bank,...)?	Pass	The payrolls were calculated by hourly rate and paid on the 7 th of the following month. The workers were paid by cash.
5.6	Do workers receive a pay slip to sign that has information that will allow them to confirm their wages and see all deductions and bonuses?	Pass	Pay slip was provided to the employees before payment.
5.7	Are deductions fair, reasonable and legal (such as social insurance or other tax)?	N/A	No any deduction is available from worker wage.
5.8	Are all workers provided social insurance as per local legal requirements? If no, please specify what is the percentage of employees without social insurance scheme.	Need Improvement	Insufficient social insurance participated. Based on the provided social insurance purchasing list of Jul, 2019, all employees were provided with accident, medical, unemployment and maternity insurances, however, 81 out of 96 employees were provided with retirement insurance. There was no retirement employee and new employees in the factory.
5.9	Is maternity and paid leaves paid as per regulations?	Pass	Maternity and paid leave are paid as per regulation.
5.10	If deductions as disciplinary practices are used, are they falling under regulatory rules?	Pass	No disciplinary deduction as confirmed by workers during interview and document review.

Picture(s)

深圳市嘉丰达塑胶制品有限公司

2019年3月 员工工资表

姓名	工号	姓名	部门	职务	考勤	基本工资		正常加班费		假日加班费		夜班加班费		全勤奖	绩效工资	实发工资
						工时	金额	工时	金额	工时	金额	工时	金额			
江成	6030	江成	生产部	普工	13.50	168.00	2268.00	38.00	528.00	40.00	1080.00	8.00	160.00	0.00	50.00	3236.00
陈子	6031	陈子	生产部	普工	13.50	168.00	2268.00	28.00	326.40	43.00	1080.00	0.00	0.00	50.00	50.00	3933.40
陈子	6032	陈子	生产部	普工	13.50	168.00	2268.00	38.00	567.60	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
黄伟	6033	黄伟	品质部	全检	14.00	168.00	2352.00	28.00	388.80	40.00	1120.00	0.00	0.00	50.00	50.00	4110.80
黄伟	6036	黄伟	生产部	普工	13.50	168.00	2268.00	38.00	567.60	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6037	李树	品质部	全检	14.00	168.00	2352.00	28.00	388.80	40.00	1120.00	0.00	0.00	50.00	50.00	4088.80
李树	6038	李树	品质部	全检	14.00	168.00	2352.00	28.00	388.80	40.00	1120.00	0.00	0.00	50.00	50.00	4088.80
李树	6039	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6040	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6041	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6042	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6043	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6044	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6045	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6046	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6047	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6048	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6049	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6050	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6051	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6052	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6053	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6054	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6055	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6056	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6057	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6058	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6059	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6060	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6061	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6062	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6063	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6064	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6065	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6066	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6067	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6068	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6069	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6070	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6071	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6072	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6073	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6074	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6075	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6076	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6077	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6078	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6079	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6080	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6081	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6082	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6083	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6084	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6085	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6086	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6087	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6088	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6089	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6090	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6091	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6092	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6093	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6094	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6095	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6096	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6097	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6098	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6099	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6100	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6101	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6102	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	50.00	50.00	3965.60
李树	6103	李树	生产部	普工	13.50	168.00	2268.00	28.00	367.20	40.00	1080.00	0.00	0.00	5		

Payroll record for Mar. 2019

373162

社会保险费专用收据

QT098118

电脑编号: 289821

2019年07月

BT2082738

名称: 深圳市嘉丰达塑胶制品有限公司

深圳市福田区

2019年08月23日

项 目	人 数	金 额	备 注
基本养老保险	80	36960.00	
地方补充养老保险	1	30.00	
基本医疗保险	96	11909.18	
工伤保险	96	931.20	
失业保险	96	1816.32	
生育医疗保险	96	950.40	生育保险
住房公积金			
利 息			横岗西城支行
滞纳金			403013010002738
其 他	96	463.02	地方外雇医疗保险
合 计			53080.12
金 额 (大写)	零 仟 零 佰 零 拾 伍 万 叁 仟 零 佰 陆 拾 零 元 壹 角 贰 分		

收款单位: 深圳市社会保险基金管理中心(盖章)

27/08/2019 11:40

Social insurance purchasing list and voucher, insufficient social insurance participated.

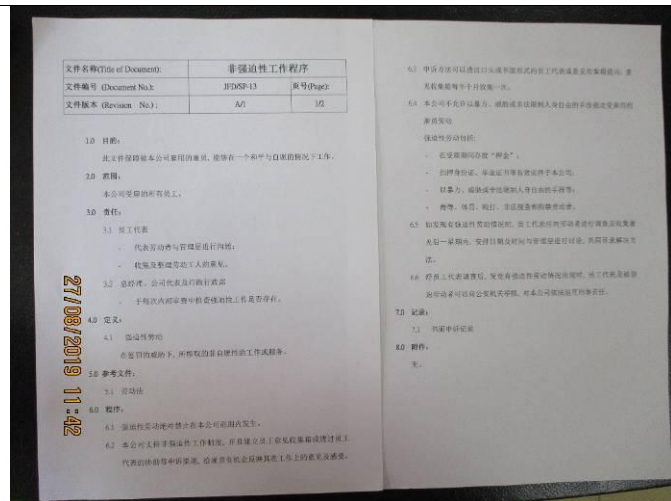
- 1), All employees' wages and attendance records of past 12 months (from Aug-2018 to Jul-2019) were provided for review, all sampled workers had one day off in a week and the weekly working hours were within 60 hours/week; the minimum wages of all workers met local minimum wage, and the overtime wages were paid as per legal requirements. **However, the factory did not ensure overtime hours comply with legal requirements.**
- 2), The factory used electronic attendance system (fingerprinting system) to record workers' working times.
- 3), **Not all employees were provided with social insurances.** Other benefits such annual leave and statutory holiday were provided for all employees.
- 4), Wages were paid on the 7th of each month by cash.

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Part 5 Forced Labor

Item No	Requirement	Result	Comments
6.1	Is there evidence that work is conducted in voluntary basis, with no threat of penalty or sanctions, and the factory do not use forced, bonded or involuntary prison labour?	Pass	Evidence shows that work is conducted in voluntary basis, with no threat of penalty or sanctions, and the factory do not use forced, bonded or involuntary prison labour.
6.2	Is there evidences that factory do not require workers to lodge deposits or original documents such as work permits/ID papers, cards, training certificates, etc.?	Pass	The factory does not require workers to lodge deposits or original documents such as work permits/ID papers, cards, training certificates, etc.
6.3	Are workers free to quit their jobs within the legal framework and without debts forcing them to continue working for the factory?	Pass	Workers are free to quit their jobs within the legal framework and without debts forcing them to continue working for the factory.
6.4	The factory doesn't withhold any part of workers salary or benefits in order to force such worker to continue working for the factory?	Pass	The factory doesn't withhold any part of workers salary or benefits in order to force such worker to continue working for the factory.
6.5	Are workers allowed to leave the factory compound after work at any time and freely move about during a shift (attend to hygiene etc)? If not, please specify.	Pass	Workers are allowed to leave the factory compound after work at any time and freely move about during a shift.

Picture(s)



Nil

Anti-forced labor procedures

Special Remarks on this section

- 1), No any forms of force labor were used by the factory.
- 2), The anti-forced labor policy and procedure was established and relevant training was provided for all employees.
- 3), No any forced labor happened or reported in the factory.

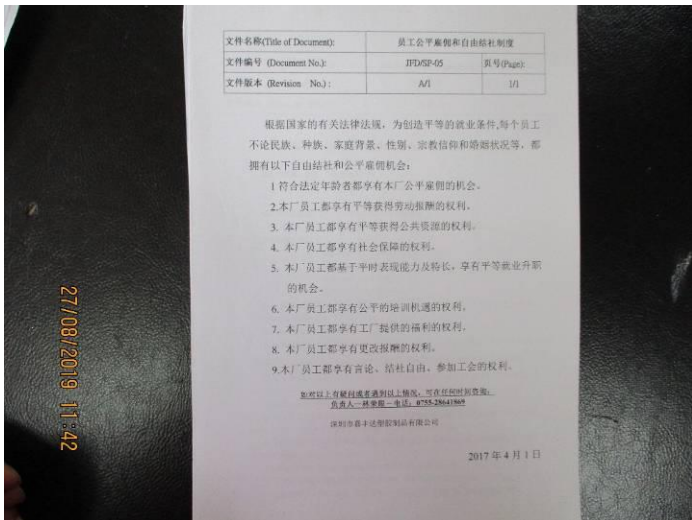
Unacceptable NC	Need major improvement NC	Need improvement NC	Compliance level of the section
0	0	0	Acceptable

Part 6 Workers' Rights

1. Ability for Workers to be represented towards management

Item No	Requirement	Result	Comments
7.1	If applicable by Local Law, do workers have the right to join or for trade unions and bargain collectively, without interference of employer?	Pass	Workers had the right to join or for trade unions and bargain collectively, without interference of employer.
7.2	If there is no union, are there fair and effective parallel means to resolve grievances of workers (workers representatives,...)?	Pass	No trade union was established but four worker representatives selected. And the employees were freely to join any union as they want. Suggestion box was also installed for the employees.
7.3	Is there evidence that workers cannot efficiently communicate grievances to management out of direct supervisors?	Pass	The employees could use suggestion boxes to efficiently communicate grievances to senior management.

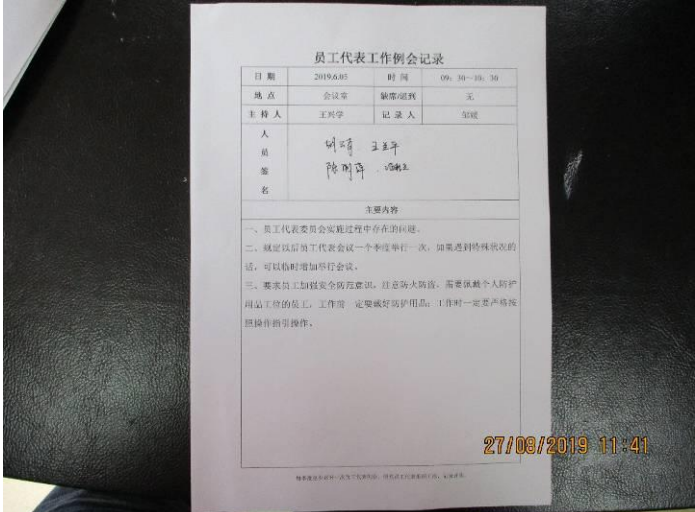
Picture(s)



Freedom of Association procedure



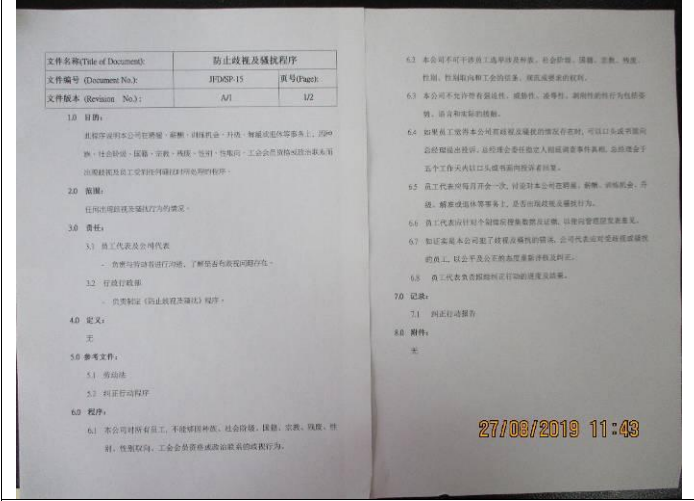
Suggestion box

	<p>Nil</p>
<p>Worker representative meeting record</p>	

2. Discrimination

Item No	Requirement	Result	Comments
8.1	Is non-discrimination guarantee in term of employment, promotion, compensation, welfare, dismissal and retirement, etc. within the company based on criteria of race, birth, religion, national or social origins, sex, family responsibilities, marital status, handicap, sexual orientation or political opinions?	Pass	No negative evidence of discrimination in gender was identified during the audit. And the discrimination procedure was available in the factory.
8.2	The factory doesn't insist on blood tests, pregnancy or virginity tests before hiring?	Pass	The factory did not require blood tests, pregnancy or virginity tests before hiring.
8.3	Is there a written anti-discrimination policy?	Pass	There was a written anti-discrimination policy.

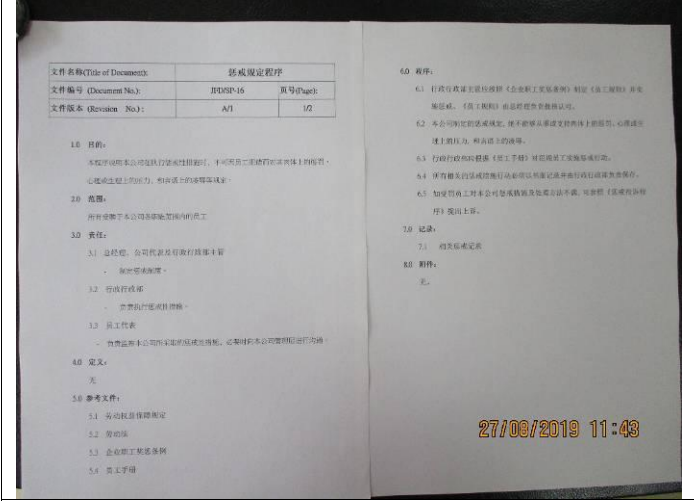
Picture(s)

	<p>Nil</p>
<p>Anti-discrimination procedures</p>	

3. Disciplinary Practices

Item No	Requirement	Result	Comments
9.1	Is mental / physical /sexual coercion forbidden and avoided in the factory? If not, please give details of the situation.	Pass	There was no mental / physical /sexual coercion forbidden and avoided in the factory.
9.2	Does the factory have documented disciplinary rules that are clearly communicated to all workers?	Pass	The factory documented disciplinary rules that was clearly communicated to all workers
9.3	Does the company keep a record of fines/disciplinary actions?	Pass	No fines/disciplinary actions were found in the factory.
9.4	Are the complaint and appeal methods defined and proved to be efficient?	Pass	The employees could use suggestion boxes and hotline to complaint and appeal methods, and the management would solve it every week.

Picture(s)

	<p>Nil</p>
<p>Disciplinary management procedures</p>	

Special Remarks on this section

1. No violations were identified regarding the discrimination. Related written procedures and records were available for review.
2. Disciplinary rules were documented on the company regulation
3. No trade union was available in the factory, but four worker representatives were selected by workers. Regular meeting was held every three months between management and union representatives and feasible grievance channel was established to communicate worker's complaint and opinion.

Unacceptable NC	Need major improvement NC	Need improvement NC	Compliance level of the section
0	0	0	Acceptable

Part 7 Right of Review

Item No	Requirement	Result	Comments
10.1	Has access been granted to the required documents throughout the audit, including legal documents and other documents (production registration, ISO system registration, ...) to corroborate production hours, working conditions?	Pass	During this audit, the factory was cooperative and all requested documents including legal documents and other documents (production registration, ISO system registration, ...) were provided for crosschecking the working hours, and no inconsistencies were found.
10.2	Has access been granted to factory compound, including all factory buildings and workshops?	Pass	During this audit, physical access to the whole factory was granted.
10.3	Have inconsistencies been found between management interview, workers interviews and documentations/records?	Pass	During this audit, no inconsistencies were found between management interview, workers interviews and documentations/records.

Factory Cooperation and Right of Review

Very Bad	Bad	Average	Good	Very Good
<p>Factory Cooperation :</p> <p>During this audit, the factory was cooperative and receptive. The factory management did not interfere with the audit result during the whole audit process, including document review, factory tour and employees interview.</p> <p>Right of review :</p> <p>All requested documents including legal documents and production records were provided for review timely. Physical access was fully granted. Employees interview was conducted without present of factory management and without interference from factory management before and after interview with employees.</p>				

Picture(s)

Nil

Special Remarks on this section

The factory was cooperative during this audit and no transparency issue other violations were found.

Unacceptable NC	Need major improvement NC	Need improvement NC	Compliance level of the section
0	0	0	Acceptable

B. Employee's interview

Details of the Interview

Total number of people interviewed	Number per group and individual	Number of male and female
8	3 employees in one group and 5 employees were interviewed individually	4 males and 4 females

Interview Nb	Dept.	Comments*
Details of the interviews :how many people in total, in group or individual, male or female		
1	Cutting	Individual interview and no special situation reported.
2	Pressuring	Individual interview and no special situation reported.
3	Pressuring	Individual interview and no special situation reported.
4	Sewing	Individual interview and no special situation reported.
5	Sewing	Individual interview and no special situation reported.
6-7-8	Packing	Group interview and no special situation reported.

Interviews Summary*
<p>Health & Safety:</p> <ul style="list-style-type: none"> -Employees knew how to use the firefighting equipment and they were trained on emergency evacuation procedure -Facility provided PPE to relevant employees at charge free and PPE usage training was provided to them -Facility provided free drinking water, first aid kit to them, and they could free to use the toilet -Employees received HS training including position safety, chemical safety, fire safety, and equipment safety.
<p>Waste Management:</p> <ul style="list-style-type: none"> -Facility conducted chemical leakage drill -Chemical waste and other solid waste were separated -The facility trained them for some environmental acknowledgement
<p>Child Labor:</p> <ul style="list-style-type: none"> -Have facility manual training and child labor policy training -Age document checking before working in the facility , sign labor contract within one month -Personal file with copy of age document was required
<p>Working Hours:</p> <ul style="list-style-type: none"> -The normal working hour is 8 hours -The overtime working arrangement, the normal overtime working hour was 0~3 hours a day and 8 hours a day on rest day generally on Saturday. -No compulsory overtime working

<p>Wages & Benefits</p> <ul style="list-style-type: none"> -Minimum wage was guaranteed by the facility, at least RMB 13.5 per hour, which was little higher than local minimum wage -Overtime wage was paid sufficiently. -Statutory holiday wage was guaranteed -Wages were paid to them on the 7th of the following month by cash.
<p>Employee Representation:</p> <ul style="list-style-type: none"> -4 employee representatives were freely selected by the employees themselves -Employee could express their opinion through the employee representatives or suggestion box
<p>Forced Labor:</p> <ul style="list-style-type: none"> -No forced labor was detected or reported -Employees can resign without at their own wills. -Employees can freely go to the toilet or for water drinking
<p>Discrimination:</p> <ul style="list-style-type: none"> -No discrimination was reported -The facility respects the employees' human rights, no verbal abuse or physical abuse was reported -Employees were paid at the same rate for same position
<p>Disciplinary Practices:</p> <ul style="list-style-type: none"> -No disciplinary deduction was made. -The employee would be terminated because of violating law. -The facility would give the employees some bonus or warning according to the facility rule.
<p>Other:</p> <ul style="list-style-type: none"> -Facility provided free of meals and accommodation to them.

*** Comments:**

During the interviews, if any data is found that contradicts findings of Audit Part A (such as: fake birth date or fake date of hire), the whole related section in Audit Part A must be scored 0. No details of employees interviews are available in report in order to protect employees confidentiality. It can provided upon request

C. Corrective Action Plan

Client	ATS audit	QIMA Service No	R-Cloud-1993727
Maison	N/A	Audit Type	Initial Audit
Supplier	Jiafeng Plastic Products Co., LTD	Auditor	Rocky Zhou
Factory	Jiafeng Plastic Products Co., LTD	Date	27-Aug-2019
Industry	Printing & Packaging	Country	China

Item No	Result	Finding/Violation	Corrective Action	Factory estimated date for Completion
1.40	Need Improvement	No recreation facility was available in the factory. 工厂内没有配备娱乐设施。	The factory should equip recreation facility for workers.	26-Nov-2019
4.1	Need Improvement	The factory did not ensure overtime hours comply with legal requirements. Based on review the attendance records from 1-Aug-2018 to 27-Aug-2019 of the factory, the monthly overtime hours for 10 out of 10 sampled workers were 42-68 hours in Dec, 2018 (random month), the monthly overtime hours for 10 out of 10 sampled workers were 52-68 hours in Mar, 2019 (random month), the monthly overtime hours for 10 out of 10 sampled workers were 40-60 hours Jul, 2019 (current month). 工厂未能保证工人加班时间符合法规要求。	The factory should ensure overtime hours comply with legal requirements.	26-Nov-2019
5.8	Need Improvement	Insufficient social insurance participated. Based on the provided social insurance purchasing list of Jul, 2019, all employees were provided with accident, medical, unemployment and maternity insurances, however, 81 out of 96 employees were provided with retirement insurance. There was no retirement employee and new employees in the factory. 社保未覆盖所有员工。	The factory should provide all kinds of social insurances to all employees.	26-Nov-2019

Asia Inspection maximum suggested timings for implementation of Corrective Actions are:

- 7 Days to submit Action Plan + 30 Days to book a follow-up audit for Critical NCs
- Audit date + 30 days for Major NCs
- Audit date + 90 days for Minor NCs

D. Closing meeting summary

Closing meeting
<p>People attending the meeting:</p> <ul style="list-style-type: none"> - Huang Baozhen/HR Staff - Lin Baocang/General Manager - Zou Yuan/Quality Supervisor
<p>Main Strengths pointed out during the closing meeting:</p> <ul style="list-style-type: none"> - Establish the social accountability system. - Good maintenance of EHS. -Sufficient minimum wage, overtime wage and other benefits.
<p>Main Weaknesses pointed out during the closing meeting:</p> <ul style="list-style-type: none"> -Working hours and social insurance violation issues.
<p>Other points discussed during the closing meeting:</p> <ul style="list-style-type: none"> -None

THE ABOVE RESULT(S) REFLECT(S) QIMA LIMITED'S FINDINGS AT THE TIME AND PLACE OF AUDIT. WITH REGARD TO THE RANDOM SAMPLE CHARACTER OF THE AUDIT, IT SHOULD BE NOTED THAT ADDITIONAL NONCONFORMITIES MAY EXIST, WHICH WERE NOT FOUND DURING THE AUDIT. THE AUDITOR'S FINDINGS DO NOT RELIEVE THE AUDITEE OF ITS RESPONSIBILITY TO ENSURE THAT THE REQUIREMENTS OF THE STANDARD ARE FULFILLED AND CONSTANTLY ADHERED TO.


Factory Disclaimer

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On behalf of: Jiaxing Plastic Products Co., LTD.(Authorized signature only)		Date: 27.8.2019	
Name of Factory: Jiaxing Plastic Products Co., Ltd. (授权人)	Signature: [Signature]	Arrival Time: 9:30	Departure Time: 9:30
Name of Auditor(s): 审核员姓名	Signature: [Signature]	Arrival Time: 9:30	Departure Time: 9:30
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Original signature of the Factory Representative accepting QIMA policy including bribery issues.

Confirmation of Compliance with QIMA Code of Conduct

27/08/2019 20:06



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Confirmation of Compliance with QIMA Code of Conduct
在审核工作结束后，将该文件打印两份并且都签上名字

需要名的中文版本（此中文版本声明适用于在中国地区进行的审核）

订单编号: R-Client-1907727 审核日期: Aug 27-2019

工厂名称: Jiafeng Plastic Products Co., LTD

我们在此代表贵公司确认以下关于工厂审核期间遵守的行为准则。

1. 我确认审计人员没有看到工厂提供的任何礼物、礼品或宴请（贿赂）。	<input checked="" type="checkbox"/>	否，请描述具体情况
2. 我确认审计人员没有看到工厂的翻译去餐厅消费。	<input checked="" type="checkbox"/>	否，请描述具体情况
3. 我确认审计人员没有看到任何超出客户要求以外的食品、礼物或产品。	<input checked="" type="checkbox"/>	否，请描述具体情况
4. 我确认审计人员没有看到任何任何不合理的差旅或服务。	<input checked="" type="checkbox"/>	否，请描述具体情况
5. 我确认审计人员没有看到工厂要求审计人员离开工厂的贿赂行为。	<input checked="" type="checkbox"/>	否，请描述具体情况

本人谨以此声明以上内容的真实性。

受审人:	工厂代表:
工厂代表姓名: 林芳梅	审核日期: 2019.8.27
签名: [Signature]	离开时间: 17:00
审核员姓名: [Signature]	审核日期: 27-Aug-2019
签名: [Signature]	

如果我们的审计人员没有行为准则，请立即联系我们。我们将安排内部审计人员尽快跟进处理。

Complaint Hotline (投诉电话): China +86-755-2223-9003 / India +91 11 4672 3304
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Original signature of the Factory Representative confirming that auditor respected QIMA Code of Conduct.

Corrective Action Plan



Original signature of the Factory Representative agreeing with the Audit Findings and Corrective Action Plan defined.

END