



Sedex Members Ethical Trade Audit Report

Version 6.1



Audit Details				
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC5000013548	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS1000014833	
Business name (Company name):	DONGGUAN YING KEE ORNAMENTS CO.LTD			
Site name:	DONGGUAN YING KEE ORNAMENTS CO LTD			
Site address:	Room 501,building 6 No.23,jiabin Road Huangjiang Town, Dongguan City, Guangdong Province 523505 CN	Country:	CN	
Site contact and job title:	Liu Yunsheng / Facility Manager			
Site phone:	17302661139	Site e-mail:	eaglejewelry_03@163.com	
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health and Safety (plus Environment 2-Pillar)	<input checked="" type="checkbox"/> Environment 4-pillar	<input checked="" type="checkbox"/> Business Ethics
Date of Audit:	2023-11-13			

Audit Company Name:
Intertek Shenzhen

Audit Conducted By					
Affiliate Audit Company	<input checked="" type="checkbox"/>	Purchaser	<input type="checkbox"/>	Retailer	<input type="checkbox"/>
Brand owner	<input type="checkbox"/>	NGO	<input type="checkbox"/>	Trade Union	<input type="checkbox"/>
Multi-stakeholder	<input type="checkbox"/>	Combined Audit (select all that apply)			

Audit Content:

(1) A SMETA audit was conducted which included some or all of Labour Standards, Health & Safety, Environment and Business Ethics. The SMETA Best Practice Version 6.1 (March 2019) was applied. The scope of workers included all types at the site e.g. direct employees, agency workers, workers employed by service providers and workers provided by other contractors. Any deviations from the SMETA Methodology are stated (with reasons for deviation) in the SMETA Declaration.

(2) The audit scope was against the following reference documents

2-Pillar SMETA Audit

- ETI Base Code
- SMETA Additions
 - Universal rights covering UNGP
 - Management systems and code implementation,
 - Responsible Recruitment
 - Entitlement to Work & Immigration,
 - Sub-Contracting and Home working,

4-Pillar SMETA

- 2-Pillar requirements plus
- Additional Pillar assessment of Environment
- Additional Pillar assessment of Business Ethics
- The Customer's Supplier Code (Appendix 1)

(3) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.

(4) Any Non-Compliance against customer code shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

SMETA Declaration

I declare that the audit underpinning the following report was conducted in accordance with SMETA Best Practice Guidance and SMETA Measurement Criteria.

- (1) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.
- (2) Any Non-Compliance against customer code alone shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

Auditor Team			
Lead Auditor:	Spark Li	APSCA Number:	21700307
Additional Auditors:			
Date of declaration:	2023-11-14		

Note: The focus of this ethical audit is on the ETI Base Code and local law. The additional elements will not be audited in such depth or scope, but the audit process will still highlight any specific issues.

Site Representation	
Full Name:	Liu Yunsheng
Title:	Facility Manager
Date of declaration:	2023-11-14
Comments: <i>Any exceptions to this must be recorded here (e.g. different sample size): Sampled wage records from the past 5 months were provided for review (5 months only since the operation for digital thermometer just started last Sep 2020). The audit took 2.0 man-days (9AM-6PM per day). Audit time was extended until 8PM due to the extent of documentation; this was agreed upon with the factory representatives</i>	
No comment	

Summary of Findings

Issue <i>(please click on the issue title to go direct to the appropriate audit results by clause)</i>	Area of Non-Conformity		Number of issues			Findings
	ETI	Local Law	NC	Obs	GE	
0A - Universal rights covering UNGP			0	0	0	
0B - Management systems and code implementation			0	0	0	
1 - Freely chosen employment			0	0	0	
2 - Freedom of association and right to collective bargaining are respected			0	0	0	
3 - Working conditions are safe and hygienic			0	0	0	
4 - Child labour shall not be used			0	0	0	
5 - Living wages are paid	5.1	§1	1	0	0	NC - ZAF600246930
6 - Working hours are not excessive	6.1	§2	1	0	0	NC - ZAF600246931
7 - No discrimination is practiced			0	0	0	
8 - Regular employment is provided			0	0	0	
8A - Subcontracting and homeworking			0	0	0	
9 - No harsh or inhumane treatment is allowed			0	0	0	
10A - Entitlement to work and immigration			0	0	0	
10B2 - Environment 2-pillar			0	0	0	
10B4 - Environment 4-pillar			0	0	0	
10C - Business ethics 4-pillar			0	0	0	

Local Law Issues

Issue	Description
§1	In accordance with the Social Insurance Law of the People's Republic of China, Article 10 Employees shall participate in the basic endowment insurance, and the basic endowment insurance premiums shall be jointly paid by employers and employees. Article 23 Employees shall participate in the basic medical insurance for employees, and the basic medical insurance premiums shall be jointly paid by employers and employees in accordance with the relevant provisions of the state. Article 33 Employees shall participate in the employment injury insurance, and the employment injury insurance premiums shall be paid by their employers rather than the employees. Article 44 Employees shall participate in unemployment insurance, and the unemployment insurance premiums shall be jointly paid by employers and employees in accordance with the relevant provisions of the state. Article 53 Employees shall participate in maternity insurance, and the maternity insurance premiums shall be paid by employers rather than employees in accordance with the relevant provisions of the state.

§2	In accordance with the PRC Labour Law article 41 The employing unit may extend working hours due to the requirements of its production or business after consultation with the trade union and labourers, but the extended working hour for a day shall generally not exceed one hour; if such extension is called for due to special reasons, the extended hours shall not exceed three hours a day under the condition that the health of labourers is guaranteed. However, the total extension in a month shall not exceed thirty-six hours.
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Site Details

Site Details		
Company Name	DONGGUAN YING KEE ORNAMENTS CO.LTD	
Site Name	DONGGUAN YING KEE ORNAMENTS CO LTD	
GPS location (if available)	GPS Address:	Room 501, Building 6, No. 23, Jiabin Road, Huangjiang Town, Dongguan City, Guangdong Province, China. 中国广东省东莞市黄江镇嘉宾路23号6栋501室
	Coordinates:	Latitude: 22°50'24" Longitude: 113°58'20"
Applicable business and other legally required licence numbers and documents, for example, business license number, liability insurance, any other required government inspections	Business license No.: 91441900684415628A, Valid Date: From 12th January 2009 to long term.	
Products/Activities at site, for example, garment manufacture, electricals, toys, grower, cutting, sewing, packing etc	Ornaments and Hardware Products	
Site description: (Include size, location, and age of site. Also, include structure and number of buildings)	<p>Dong Guan Ying Kee Ornaments Co., Ltd was located at Room 501, Building 6, No. 23, Jiabin Road, Huangjiang Town, Dongguan City, Guangdong Province, China. The total land area occupied by the facility is about 1450 square meters. The facility had started their operation since January 2009. A total of 14 employees are currently working in the facility, which includes 12 non-management employees and 2 management employees. 1 employee was local worker from Guangdong, 13 employees were domestic migrant workers who were mainly from Guangxi, Jiangxi and Hunan. No foreign migrant worker was available in the facility. All employees were hired by the facility directly. Based on the provided attendance records, all employees worked in one shift, which was 08:00-12:00 and 13:30-17:30. Employees normally worked 2 hours on normal working days and 8 hours on Saturdays. No overtime was conducted on Sundays and statutory holidays. Finger print attendance system was used for time keeping. All employees were required to scan their fingers for each work. The peak season was not obvious in the facility. The wages of all employees were calculated on hourly-rated basis, the wages were paid monthly by cash on or before the 30th of each month. In view of the facilities, the facility occupied a half of 5/F of one 8-storey building used as office, warehouse and production workshops, no dormitory, canteen or kitchen was available in the facility. Remark: During this audit, it was noted that there were many facilities with independent business licenses in the same building. As per facility management, that facilities were separated with the auditee in production, personnel and finance, the other facilities had separate business licenses and management, and there was no employees' cross utilize between auditee and other facilities. The other facilities did not allowed auditor to view the business licenses or conduct site tour. According to employees' interview, they said that they did not go to the other facilities to work and did not see the employees from the other facilities working in the audited facility. This audit only covered the area of the auditee.</p>	

Structure and number of buildings	Building Name:		Production building
	Floor	Description	Remark
	Floor 1	Other facilities	Year of establishment: 2018
	Floor 3	Other facilities	Year of establishment: 2018
	Floor 4	Other facilities	Year of establishment: 2018
	Floor 5	Office, Warehouse, Cutting, CNC, Drilling, Polishing, Laser welding, Assembly and Packing, other facilities	Year of establishment: 2018
	Floor 6	Other facilities	Year of establishment: 2018
	Floor 7	Other facilities	Year of establishment: 2018
	Floor 8	Other facilities	Year of establishment: 2018
Visible structural integrity issues (large cracks) observed?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No visible crack was observed.		
Does the site have a structural engineer evaluation?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility had provided construction safety certificates for review.		
Site function	<input type="checkbox"/> Agent <input checked="" type="checkbox"/> Factory Processing/Manufacturer <input type="checkbox"/> Finished Product Supplier <input type="checkbox"/> Grower <input type="checkbox"/> Homeworker <input type="checkbox"/> Labour Provider <input type="checkbox"/> Pack house <input type="checkbox"/> Primary Producer <input type="checkbox"/> Service Provider <input type="checkbox"/> Sub-contractor		
Months of peak season			
Process overview	The main products manufactured by the facility were ornaments and Hardware Products. The main production processes were listed as follows: Cutting, CNC, Drilling, Polishing, Laser welding, Assembly and Packing The main machines used in the facility were injection machines, testing machines and milling machines.		

What form of worker representation is there on site?	<input type="checkbox"/> Union <input checked="" type="checkbox"/> Worker Committee <input type="checkbox"/> Other <input type="checkbox"/> None
Please give details:	Dong Guan Ying Kee Ornaments Co., Ltd worker committee.
Is there any night production work at the site?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are there any on site provided worker accommodation buildings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Are there any off site provided worker accommodation buildings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Were all site provided accommodation buildings included in this audit	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No accommodation was provided in the facility.

Audit Parameters					
Time in and time out	Day 1		Day 2		
	In	09:30	In	09:35	
	Out	17:30	Out	14:00	
Audit type:	FULL_INITIAL				
Was the audit announced?	ANNOUNCED				
Was the Sedex SAQ available for review?	Yes				
Any conflicting information SAQ/Pre-Audit Info to Audit findings?	No				
Who signed and agreed CAPR	Liu Yunsheng / Facility Manager				
Is further information available	No				

Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?	Yes	Yes	No
B: Present at the audit?	Yes	Yes	No
C: Present at the closing meeting?	Yes	Yes	No
<i>Reason for absence at the opening meeting</i>	There was no union in the facility.		
<i>Reason for absence during the audit</i>	There was no union in the facility.		
<i>Reason for absence at the closing meeting</i>	There was no union in the facility.		

Worker Analysis

The term "migrant worker" refers to a person who is engaged or has been engaged in a remunerated activity in a country of which they are not a national or permanent resident or has purposely migrated on a temporary basis to another in-country region to seek and engage in a remunerated activity.

Worker Analysis								
	Local			Migrant*			Home workers	Total
	Permanent	Temporary	Agency	Permanent	Temporary	Agency		
Worker numbers – male	0	0	0	9	0	0	0	9
Worker numbers – female	1	0	0	4	0	0	0	5
Total	1	0	0	13	0	0	0	14
Number of Workers interviewed – male	0	0	0	7	0	0	0	7
Number of Workers interviewed – female	1	0	0	2	0	0	0	3
Total – interviewed sample size	1	0	0	9	0	0	0	10

Nationalities Structure		
Nationality of Management	Chinese	
Please list the nationalities of all workers, with the three most common nationalities listed first.	Nationality 1: CHINESE approx %: 100%	
Was this list completed during peak season?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable. The peak season was not obvious in the past year in the facility.	
Worker remuneration	Workers on piece rate:	0%
	Paid hourly:	100%
	Salaried:	0%
Payment cycle	Paid daily:	0%
	Paid weekly:	0%
	Paid monthly:	100%
	Other:	0%
	Details for other:	N/A

Worker Interview Summary	
Were workers aware of the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were workers aware of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Number of group interviews:	One group of 4 members including 3 male employees and 1 female employee.
Number of individual interviews:	Male: 4 Female: 2
All groups of workers are included in the scope of this audit such as; Direct employees, Casual and agency workers, Workers employed by service providers such as security and catering staff as well as workers supplied by other contractors.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Interviews were done in private and the confidentiality of the interview process was communicated to the workers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
In general, what was the attitude of the workers towards their workplace?	<input checked="" type="checkbox"/> Favorable <input type="checkbox"/> Non-favourable <input type="checkbox"/> Indifferent
What was the most common worker complaint?	None
What did the workers like the most about working at this site?	Wages were paid on time and less overtime hours.
Any additional comment(s) regarding interviews:	None
Attitude of workers to hours worked:	Generally acceptable.
Is there any worker survey information available?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:

Attitude of workers:
Total 10 employees were selected for interviewed (besides one supervisor and one employee from each area of Environment and Business Practices were interviewed). 6 employees were selected for individual interview and 4 employees in one group were selected for group interview. Through employees' interview, all employees were satisfied with the facility's working environment and salary level, no negative information was raised.
Attitude of worker's committee/union reps:
One worker representative was selected for interview who was favourable with the management and facility environment and no negative information was raised.
Attitude of managers:
The management was cooperative throughout the process of the audit. All documentations requested were provided for review timely. All areas were allowed access for tour and a private room was provided for employees' interview. During closing meeting, the management was receptive to all findings and stated that they would make improvement for all raised findings continually.

0A - Universal Rights covering UNGP
[Summary of Findings]

0A: Compliance Requirements

0.A.1 Businesses should have a policy, endorsed at the highest level, covering human rights impacts and issues, and ensure it is communicated to all appropriate parties, including its own suppliers.
0.A.2 Businesses should have a designated person responsible for implementing standards concerning Human rights
0.A.3 Businesses shall identify their stakeholders and salient issues.
0.A.4 Businesses shall measure their direct, indirect, and potential impacts on stakeholders (rights holders) human rights.
0.A.5 Where businesses have an adverse impact on human rights within any of their stakeholders, they shall address these issues and enable effective remediation.
0.A.6 Businesses shall have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter. Note for auditors and readers. This is not a full Human Rights Assessment, but instead a check on the business's implementation of processes to meet their Universal rights covering UNGP responsibilities.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

1. The facility had designated Mr. Liu Yunsheng / Manager to be responsible for implementing standards concerning Human rights.
2. Policy concerning human rights was established.
3. Human rights protecting requirements had been communicated to suppliers.
4. The facility had a transparent system in place for confidentially reporting and dealing with human rights impacts without fear of reprisals towards the reporter. Employees could report the human right violations through suggest box and direct hotline to management.
5. Stakeholders were identified by the facility.

Evidence examined:

Details:

1. Appointment letters to enhance the implement of human right issues.
2. Policy on human rights
3. Training records
4. Communication records and assessment reports for its suppliers
5. Management interview and employee interview.

Any other comments:

None

Policy statement that expresses commitment to respect human rights?

☒ Yes ☐ No

Please give details:

The facility had a policy expressed that the facility would respect the human rights.

Are the policies included in workers' manuals?

☒ Yes ☐ No

Please give details:

The policies were included in workers' manual.

Does the business have a designated person responsible for implementing standards concerning Human Rights?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Any issue concerning human rights could be raised to the designed responsible person. Name: Ms. Li Huiling Job title: Manager
Does the business have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The reporter's personal information would be revealed and the reporting practice would never affect the working arrangement or promotion or position.
Does the grievance mechanism meet UNGP expectations? (Legitimate, Accessible, Predictable, Equitable, Transparent, Rights-compatible, a source of continuous learning and based on stakeholder engagement)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Does the business demonstrate effective data privacy procedures for workers' information, which is implemented?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Relevant training regarding privacy procedures would be provided to employees when they joined the facility.
Measuring Workplace Impact	
Annual worker turnover(Number of workers leaving in last 12 months as a % of average total number of workers on site over the year (annual worker turnover))	Last year 1.0% This year 1.0%
Current % quarterly (90 days) turnover(Number of workers leaving from the first of the 90 day period through to the last day of the 90 day period / [(number of employees on the 1st day of 90 day period + number of employees on the last day of the 90 day period) / 2])	1.0%
Annual % absenteeism(Number of days lost through job absence in the year / [(number of employees on 1st day of the year + number employees on the last day of the year) / 2] * number available workdays in the year)	Last year 0.0% This year 0.0%
Quarterly (90 days) % absenteeism(Number of days lost through job absence in the period / [(Number of employees on 1st of the period + Number of employees on the last day of the period) / 2] * Number of available workdays in the month)	0.0%

Are accidents recorded?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Management had kept a record of accidents. During injury log review, there was no injury happened in the past 12 months. Through reviewing the injury procedure, the injury root cause would be analyzed, and injured employee would be provided with rest, cure and compensate once injury occurred.	
Annual Number of work related accidents and injuries per 100 workers((Number of work related accidents and injuries * 100) / Number of total workers)	Last year	0.0%
	This year	0.0%
Quarterly (90 days) number of work related accidents and injuries per 100 workers((Number of work related accidents and injuries * 100) / Number of total workers)	0.0%	
Lost day work cases per 100 workers(((Number of lost days due to work accidents and work related injuries * 100) / Number of total workers)	Last year	0.0%
	This year	0.0%
% of workers that work on average more than 48 standard hours / week in the last 6 / 12 months	6 month	0.0%
	12 month	0.0%
% of workers that work on average more than 60 total hours / week in the last 6 / 12 months	6 month	0.0%
	12 month	0.0%

0B - Management Systems and code Implementation
[Summary of Findings]

0B: Compliance Requirements

- 0.B.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.
0.B.2 Suppliers shall appoint a senior member of management who shall be responsible for compliance with the Code.
0.B.3 Suppliers are expected to communicate this Code to all employees.
0.B.4 Suppliers are expected to be operating legally in premises with the correct business licenses and permissions and to have systems to ensure that all relevant land rights have been complied with.
0.B.5 Suppliers should communicate this code to their own suppliers and, where reasonably practicable, extend the principles of this Ethical Code through their supply chain.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

1. The facility implemented and maintained systems for delivering compliance to this Code.
2. The facility communicated this Code to all employees by training as confirmed by training records and employee interview.
3. Mr. Liu Yunsheng / Manager was responsible for compliance with the Code.
4. Information of business license was updated.
5. As per management interview, the facility had conducted the management review of social compliance system.

Evidence examined:

Details:

1. Employee Handbook was reviewed. It stipulated complying with ETI Code, written policies and procedure that being provided individually to employees.
2. Company Manual contained details of Code and Business Ethics with the commitment of being compliant in all aspects of business and integrity aligned with the client's requirement and local law.
3. Management interview and employee interview.
4. Business license review.

Any other comments:

None

Management Systems

In the last 12 months, has the site been subject to any fines/prosecutions for non-compliance to any regulations?

☐ Yes ☒ No

Please give details:

No any fines/prosecutions.

Do policies and/or procedures exist that reduce the risk of forced labour, child labour, discrimination, harassment & abuse?

☒ Yes ☐ No

Please give details:

The facility had established a written policy to prohibit forced labour, child labour, discrimination, harassment & abuse.

If Yes, is there evidence (an indication) of effective implementation? Please give details.

The facility had provided relevant written training to employees.

Have managers and workers received training in the standards for forced labour, child labour, discrimination, harassment & abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility provided regular trainings about the standards of forced labour, child labour, discrimination, harassment and abuse for both management and workers, which was confirmed by the provided training records and interviews with both management and workers.
If Yes, is there evidence (an indication) that training has been effective e.g. training records etc.? Please give details	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Yes. Regular training records were provided for review. The workers were aware clearly of the factory's policies and procedures about forced labour, child labour, discrimination, harassment and abuse according to the interviews.
Does the site have any internationally recognised system certifications e.g. ISO 9000, 14000, OHSAS 18000, SA8000 (or other social audits)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: As per management interview, the facility did not have any internationally recognised system certificate.
Is there a Human Resources manager/department?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No The facility had the personnel department, which was in charge of the recruitment of employees, assignment of employees' post and etc.
Is there a senior person /manager responsible for implementation of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Mr. Liu Yunsheng / Manager.
Is there a policy to ensure all worker information is confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The factory established and implemented the policy and procedure for safeguarding workers' confidential and private data and information.
Is there an effective procedure to ensure confidential information is kept confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: All employees' personal files were kept in office and only authorized person can access to these documents.
Are risk assessments conducted to evaluate policy and procedure effectiveness?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Risk assessment was conducted regularly by the factory to evaluate the effectiveness of the policy and procedure for safeguarding workers' confidential and private data and information.

Does the facility have a process to address issues found when conducting risk assessments, including implementation of controls to reduce identified risks?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: There was an internal audit team for internal audit including risk assessment of the social standards of the facility and they reported their findings to the facility manager. Implementation of any necessary changes was then given to the individual department head after agreement with the facility manager.
Does the facility have a policy/code which require labour standards of its own suppliers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility had its supplier selecting policy and procedure to ensure all suppliers met the labour standards and this code. The facility communicated the code to their suppliers through providing copy of CSR manual and asking suppliers to sign the written social compliance commitments; and the facility also conducted social compliance assessments for its suppliers regularly.
Land Rights	
Does the site have all required land rights licenses and permissions (see SMETA Measurement Criteria)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Construction safety certificates and premises permit were provided for review.
Does the site have systems in place to conduct legal due diligence to recognize and apply national laws and practices relating to land title?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility had system in place to conduct legal due diligence to recognize and apply national laws and practices relating to land title.
Does the site have a written policy and procedures specific to land rights?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable. Remark: The land in China mainland was belonged to the nation. Anybody or facility, no matter the character, could only rent the land from governmental department for a period. If the facility would like to use the land, it should apply for it from governmental department. The governmental department would make decision on whether to provide the approval.
Is there evidence that facility/site compensated the owner/lessor for the land prior to the facility being built or expanded?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility had provided the premises permit for review.
Does the facility demonstrate that alternatives to a specific land acquisition were considered to avoid or minimize adverse impacts?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility had no plan for land acquisition.
Is there any evidence of illegal appropriation of land for facility building or expansion of footprint?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: There was no evidence of illegal appropriation of land for facility building.

1 - Freely chosen Employment [Summary of Findings]

1: Compliance Requirements

1.1 There is no forced, bonded or involuntary prison labour.

1.2 Workers are not required to lodge "deposits" or their identity papers with their employer and are free to leave their employer after reasonable notice.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

1. The interviewed employees raised no concerns of forced or bonded labour. They stated that they were free to leave their working stations once their shifts were ended.

2. The interviewed employees stated that they were not required to pay any 'deposits' or leave their ID cards with the employer.

3. The facility would not force employees to work overtime and would not threaten employees to work overtime by fine.

Evidence examined:

Details:

1. The facility's hiring procedure was reviewed. The policy included the following clause: the facility did not require deposit or withhold employees' ID cards; the facility did not limit the employees' freedom; there was no forced, bonded or involuntary prison labour and employees were free to leave their employer after reasonable notice.

2. Employment contracts were reviewed and they contained the notice periods.

3. Management interview and employee interview.

4. Facility tour showed that no sign of employees being under pressure.

Any other comments:

None

Is there any evidence of retention of original documents, e.g. passports/ID' (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Is there any evidence of a loan scheme in operation (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Is there any evidence of retention of wages / deposits (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Are there any restrictions on workers' freedom to terminate employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No restrictions on workers' freedom to terminate employment.
If any part of the business is UK based or registered there & has a turnover over £36m, is there a published a 'modern day slavery statement?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable Please give details: The audited facility was not UK based or registered.

Is there evidence of any restrictions on workers' freedoms to leave the site at the end of the work day?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A. There was not any restriction on employees' freedoms to leave the site at the end of the work day. According to the onsite observation and employee interviews, the employees were free to leave the workplace after their working hours every day.
Does the site understand the risks of forced / trafficked / bonded labour in its supply chain	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable Please give details: According to the document review and management interviews, there was no risk of forced / trafficked / bonded labour in its supply chain.
Is the site taking any steps taking to reduce the risk of forced / trafficked labour?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility gave training on prohibition of forced / trafficked labour to all employees and conducted internal audit annually to reduce the risk of forced / trafficked labour. According to the document review and management interviews, there was no risk of forced / trafficked / bonded labour in its supply chain.

2 - Freedom of Association and Right to Collective Bargaining are Respected

[Summary of Findings]

2: Compliance Requirements

- 2.1 Workers, without distinction, have the right to join or form trade unions of their own choosing and to bargain collectively.
- 2.2 The employer adopts an open attitude towards the activities of trade unions and their organisational activities.
- 2.3 Workers' representatives are not discriminated against and have access to carry out their representative functions in the workplace.
- 2.4 Where the right to freedom of association and collective bargaining is restricted under law, the employer facilitates, and does not hinder, the development of parallel means for independent and free association and bargaining.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Through management and employee interview, it was noted that management has an open attitude towards union. Employees also can raise their concerns through suggestion box and their supervisors.
- According to facility management interview, they never interfered in any legal activities which were organized by their employees.
- There was one worker committee in the facility.
- There was no union in the facility.
- Employee interview confirmed that the members of the worker representative were selected by fellow employees.

Evidence examined:

Details:

- Site policy on freedom of association
- Interview with employees
- Interview with worker representative
- Interview with management
- Worker representative election records
- Meeting minutes of worker committee

Any other comments:

None

What form of worker representation/union is there on site? (Please add the name of the union or committee in the textbox)	<input type="checkbox"/> Union <input type="checkbox"/> Other	<input checked="" type="checkbox"/> Worker Committee <input type="checkbox"/> None
Other details:	Dong Guan Ying Kee Ornaments Co., Ltd worker committee	
Is it a legal requirement to have a union?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is it a legal requirement to have a worker's committee?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Is there any other form of effective worker/management communication channel? (Other than union/worker committee e.g. H&S, sexual harassment)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Suggestion box	
Is there evidence of free elections?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

Does the supplier provide adequate facilities to allow the Union or committee to conduct related business?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility provided adequate facilities such as meeting room to allow worker representatives to conduct related business.
Name of union and union representative, if applicable:	N/A. No union in the facility.
Is there evidence of free elections?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
If there is no union, is there a parallel means of consultation with workers e.g. worker committees?	Worker committee
Is there evidence of free elections?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable
Are all workers aware of who their representatives are?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: It was confirmed through employees' interview.
Were worker representatives freely elected?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Date of last election:	2023-03-29
Do workers know what topics can be raised with their representatives?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were worker representatives/union representatives interviewed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, please state how many:	1.0
Please describe any evidence that union/worker's committee is effective? Specify date of last meeting; topics covered; how minutes were communicated etc.	The latest meeting between worker representatives and management was conducted on 9th November 2023. The topic focused on the health and safety and suggestions given by employees.
Are any workers covered by Collective Bargaining Agreement (CBA)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

3 - Working Conditions are Safe and Hygienic [Summary of Findings]

3: Compliance Requirements

3.1 A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.

3.2 Workers shall receive regular and recorded Health & Safety training, and such training shall be repeated for new or reassigned workers.

3.3 Access to clean toilet facilities and to potable water, and, if appropriate, sanitary facilities for food storage shall be provided.

3.4 Accommodation, where provided, shall be clean, safe, and meet the basic needs of the workers.

3.5 The company observing the code shall assign responsibility for Health & Safety to a senior management representative.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

1. General Health and Safety management

- Mr. Liu Yunsheng / Manager was appointed as Health & Safety Supervisor for the site.
- Potable water was freely available in all areas and the valid testing report was provided for review.
- Sufficient clean toilets segregated by gender were available at all times to employees.
- Ventilation, temperature and lighting were adequate for the production processes.
- Minutes of meetings show that there were quarterly meetings between the H&S committee (employees) and the facility manager and each point was acted on.

2. Fire Safety

- There were at least 2 exits from each area and these were clearly marked.
- Firefighting equipment was adequate and checks were up-to-date.
- Evacuation diagrams were posted in all areas and understood by all employees interviewed.
- Fire drills were organized and recorded for all employees twice a year.

3. Electrical safety

- All electrical equipment was maintained in good condition such as sockets, plugs, switches and main fuse boards.
- There was one competent electrician hired by the site and the certificate was available for review.

4. Chemical safety

- Chemical was used or stored in this facility. MSDS were posted in the workshop.
- PPE were provided for employee.

5. Medical services

- There were adequate first aid kits in each production area which were well stocked.
- There were adequate first aiders and when a selection was interviewed, the first aider confirmed that they had been trained at a local hospital.

Evidence examined:

- Health and safety policy
- Health and safety manual
- Health and safety committee minutes
- Construction completion acceptance report
- Report for fire protection acceptance
- Training records and certificates
- Fire equipment maintenance records
- Fire drill records
- Government licenses and checks on air quality and noise level
- Fire inspection records
- Trained first aiders record
- Accident reports
- Interviews with H&S manager
- Interviews with employees and H&S committee members

Any other comments:

None

Does the facility have general and occupational Health & Safety policies and procedures that are fit for purpose and are these communicated to workers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility established health and safety policies and procedures which were communicated to employees through training.
Are the policies included in workers' manuals?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The health and safety policies were included in the worker's manual.
Are there any structural additions without required permits/inspections (e.g. floors added)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: The facility had obtained the building structure acceptance check reports for the facility's buildings and the floors showed in the building structure safety testing reports was consistent with the floors of the facility's buildings.
Are visitors to the site informed on H&S and provided with personal protective equipment?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility would introduce the Health & Safety policy to visitors and provided with personal protective equipment if necessary.
Is a medical room or medical facility provided for workers?(This section is to list evidence to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate))	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: No medical room was provided as no such legal requirement was required. However, there were adequate first aid kits in each production area which were well stocked.
Is there a doctor or nurse on site or there is easy access to first aider/ trained medical aid?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: No doctor or nurse was available on site, but sufficient qualified first aiders were available in the facility.

Where the facility provides worker transport – is it fit for purpose, safe, maintained and operated by competent persons e.g. buses and other vehicles?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A. The facility did not provide transportation to employees.
Is secure personal storage space provided for workers in their living space and is fit for purpose?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No dormitory was provided for workers by the facility.
Are H&S Risk assessments are conducted (including evaluating the arrangements for workers doing overtime e.g. driving after a long shift) and are there controls to reduce identified risk?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility conducted H&S risk assessments regularly and the related records were provided for review.
Is the site meeting its legal obligations on environmental requirements including required permits for use and disposal of natural resources?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Related environmental documents were provided for review.
Is the site meeting its customer requirements on environmental standards, including the use of banned chemicals?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: No such chemical was used by this facility.

4 - Child Labour Shall Not Be Used [Summary of Findings]

4: Compliance Requirements

4.1 There shall be no new recruitment of child labour.

4.2 Companies shall develop or participate in and contribute to policies and programmes which provide for the transition of any child found to be performing child labour to enable her or him to attend and remain in quality education until no longer a child.

4.3 Children and young persons under 18 shall not be employed at night or in hazardous conditions.

4.4 These policies and procedures shall conform to the provisions of the relevant ILO Standards.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- No child was employed by the facility. The youngest employee was 22 years old.
- The facility verified all employees' original ID cards before recruitment and kept the copies of employee' ID cards in the personnel files.

Evidence examined:

Details:

- The employee's personnel files were provided for review. Each employee file included a bio-data sheet, a recent photo and the age documentation which was in the form of photocopied national identification card. The card listed the employee's name, household address and the date of birth.
- The facility's policy on child labour was reviewed. It stated that the facility would never employ or use any child labor under the age of 16 years old.
- On site observation.
- Management and employee interview.

Any other comments:

None

Legal age of employment:	16
Age of youngest worker found:	22
Are there children present on the work floor but not working at the time of audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Percentage of under 18's at this site (of total workers)	0.0%
Are workers under 18 subject to hazardous work assignments?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A. All employees were above 18 years old.

5 - Living Wages are Paid [Summary of Findings]

5: Compliance Requirements

5.1 Wages and benefits paid for a standard working week meet, at a minimum, national legal standards or industry benchmark standards, whichever is higher. In any event wages should always be enough to meet basic needs and to provide some discretionary income.

5.2 All workers shall be provided with written and understandable information about their employment conditions in respect to wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid.

5.3 Deductions from wages as a disciplinary measure shall not be permitted nor shall any deductions from wages not provided for by national law be permitted without the expressed permission of the worker concerned. All disciplinary measures should be recorded.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- The local legal minimum wage standards were set at RMB 1900 per month equivalent to RMB 10.92 (1900/21.75/8) per hour since 1 April 2021.
- All employees' wages were calculated by hourly rated basis. The minimum wage paid by the facility was equal with the local standard.
- The wages office was well organized with a good, controlled set of processes which were understood by all employees.
- All employees were provided with written and understandable information about their employment conditions in respect to wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they were paid.
- Through reviewing the social insurance documents of October 2023, auditor found that insufficient social insurance participation was in the facility.
- The facility had provided commercial insurance for part of employees.
- Benefits such as paid annual leave were given to all employees and child-bearing leave to appropriate employees.
- All social insurance payments were passed on to the relevant authorities in a timely manner.
- All employees were paid before or on 30th of each month by cash and each employee was given a pay slip and signed for their wages.

Evidence examined:

Details:

- Document review
- Employee interview
- Local and national laws
- Wages and benefits policy
- Local legal minimum wage documents
- Payrolls for the period from October 2022 to September 2023 and attendance records for the period from 1st October 2022 to 14th November 2023 were provided for review.
- Leave records
- Social insurance and payment receipts from the local labour department
- Labour contracts for all employees
- Resignation records
- Payslips of all employees interviewed
- Hours records to check hourly rates and any overtime premiums

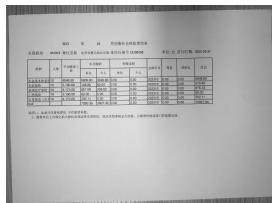
Any other comments:

None

Summary Information

Criteria	Local Law	Actual at the Site	Is this part of a Collective Bargaining Agreement?
Standard/Contracted work hours: (Maximum legal and actual required working hours excluding overtime, please state if possible per day, week, and month)	Legal Maximum Per Day: 8.0 Per Week: 40.0 Per Month: null	Actual Per Day: 8.0 Per Week: 40.0 Per Month: 160.0	NO
Overtime hours: (Maximum legal and actual overtime hours, please state if possible per day, week, and month)	Legal Maximum Per Day: 3.0 Per Week: null Per Month: 36.0	Actual Per Day: 2.0 Per Week: 14.0 Per Month: 56.0	NO
Wage for standard/contracted hours: (Minimum legal and actual minimum wage at site, please state if possible per hr, day, week, and month)	Legal Maximum Per Day: null Per Week: null Per Month: 1900.0	Actual Per Day: 87.36 Per Week: 436.8 Per Month: 1900.0	NO
Overtime wage: (Minimum legal and actual minimum overtime wage at site, please state if possible per hr, day, week, and month)	Legal Maximum Per Day: null Per Week: null Per Month: null	Actual Per Day: 0.0 Per Week: 0.0 Per Month: 0.0	NO
Wages Analysis:			
Were accurate records shown at the first request?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Sample Size Checked (State number of worker records checked and from which weeks/months – should be current, peak, and random/low. Please see SMETA Best Practice Guidance and Measurement Criteria)	10 samples in September 2023 (current month) 10 samples in June 2023 (random month) 10 samples in March 2023 (random month)		
Are there different legal minimum wage grades? If Yes, please specify all.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
If there are different legal minimum grades, are all workers graded and paid correctly?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable Please give details:		
For the lowest paid production workers, are wages paid for standard/contracted hours (excluding overtime) below or above the legal minimum?	<input type="checkbox"/> Below legal min <input checked="" type="checkbox"/> Meet <input type="checkbox"/> Above		
Lowest actual wages found: Note: full time employees and please state hour / week / month etc.	RMB 10.92 per hour.		
Please indicate the breakdown of workforce per earnings	0.0% of workforce earning under minimum wage 100.0% of workforce earning minimum wage 0.0% of workforce earning above minimum wage		
Bonus Scheme found: Please specify details:	Bonus Scheme found: RMB 1200-2000/month for job subsidy were found. Note: type of employee (e.g. full time, temp, etc.) and please state which units e.g. /hour /week /month etc.		
What deductions are required by law e.g. social insurance? Please state all types:	No deduction required by law was found in the facility.		
Have these deductions been made?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		

Please list all deductions that have been made.	N/A. No deduction required by law was found in the facility.
Please list all deductions that have not been made.	Basic endowment, unemployment, maternity and basic medical, personal income tax were borne by the facility.
Were appropriate records available to verify hours of work and wages?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were any inconsistencies found? (if yes describe nature)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Do records reflect all time worked? (For instance, are workers asked to attend meetings before or after work but not paid for their time)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The records reflected all working hours worked.
Is there a defined living wage: This is not normally minimum legal wage. If answered yes, please state amount and source of info: Please see SMETA Best Practice Guidance and Measurement Criteria.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
If yes, what was the calculation method used.	<input type="checkbox"/> ISEAL/Anker Benchmarks <input type="checkbox"/> Asia Floor Wage <input type="checkbox"/> Figures provided by Unions <input type="checkbox"/> Living Wage Foundation UK <input type="checkbox"/> Fair Wear Wage Ladder <input type="checkbox"/> Fairtrade Foundation <input type="checkbox"/> Other – please give details:
Are there periodic reviews of wages? If Yes give details (include whether there is consideration to basic needs of workers plus discretionary income).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility conducted assessment at least once per year. Based on the provided payroll records, the minimum wage paid by the facility met the local minimum wage requirement.
Are workers paid in a timely manner in line with local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Is there evidence that equal rates are being paid for equal work:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Through facility rules review, payroll records review and employees' interview, it was confirmed that equal rates are being paid for equal work.
How are workers paid:	<input checked="" type="checkbox"/> Cash <input type="checkbox"/> Cheque <input type="checkbox"/> Bank Transfer <input type="checkbox"/> Other

Non-Compliance		Evidence																									
[Back to findings summary]																											
<table><tr><th colspan="2">Non-Compliance</th></tr><tr><td>Status</td><td>OPEN</td></tr><tr><td>Reference</td><td>ZAF600246930</td></tr><tr><td>Clause</td><td>5 - Living Wages are Paid</td></tr><tr><td>Issue Title</td><td>423 - Compulsory insurance (e.g. social insurance, accident insurance etc.) not paid - systemic</td></tr><tr><td>Subcategory</td><td>Benefits & Insurance</td></tr><tr><td>New or carried over?</td><td><input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over</td></tr><tr><td>Root cause</td><td><input type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input checked="" type="checkbox"/> Other</td></tr><tr><td>Root cause - Other</td><td>Some employees wouldn't like to participate in social insurance because they did not want to pay for the personal contribution part.</td></tr><tr><td>Local law issue</td><td>In accordance with the Social Insurance Law of the People's Republic of China, Article 10 Employees shall participate in the basic endowment insurance, and the basic endowment insurance premiums shall be jointly paid by employers and employees. 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	<p>insurance documents of October 2023, only 10 employees (83%) had participated in basic endowment insurance, unemployment insurance, basic medical insurance, maternity insurance and employment injury insurance. Remark: 1) Interviewed workers who had not participated in social insurance scheme stated that they did not want to participate in social insurance; 2) No temporary and dispatch workers were used. no newly hired employee and 2 retirees were working in the facility. 3) The facility purchased commercial injury insurance for all 14 employees to ensure 100% employees were covered by injury insurance, the valid period was from 26th May 2023 to 25th May 2023. 社会保险参保不足。在文件审阅时, 审核员发现企业在2023年10月总共14名员工, 2名为退休返聘员工。因此企业应在2023年10月为12名员工购买社会保险。通过查阅最新月份(2023年10月)的社保文件, 审核员发现企业应该购买社会保险的12个员工中, 只有10名员工(83%)参加养老保险, 医疗保险, 生育保险, 失业保险和工伤保险。备注: 1) 面谈员工中没有参加社保的人员表示她/他们不愿意参加社保; 2) 企业没有雇用临时工和劳务派遣工, 企业没有新入职员工, 有2名退休返聘员工; 3) 企业有购买了14人的商业意外伤害险, 因此工伤保险涵盖了100%的员工, 有效期为2023年5月26日至2024年5月25日。</p>	
Follow up method	<input checked="" type="checkbox"/> Follow up audit <input type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The facility would arrange all employees to participate in social insurance scheme according to law requirement. Give training to the relate employees and strengthen management on social insurance. Ensure legal requirements are followed.	

6 - Working Hours are not Excessive [Summary of Findings]

6: Compliance Requirements

6.1 Working hours must comply with national laws, collective agreements, and the provisions of 6.2 to 6.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.

6.2 Working hours, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week.

6.3 All overtime shall be voluntary. Overtime shall be used responsibly, taking into account all the following: the extent, frequency and hours worked by individual workers and the workforce as a whole. It shall not be used to replace regular employment. Overtime shall always be compensated at a premium rate, which is recommended to be not less than 125% of the regular rate of pay.

6.4 The total hours worked in any 7-day period shall not exceed 60 hours, except where covered by clause 6.5 below.

6.5 Working hours may exceed 60 hours in any 7-day period only in exceptional circumstances where all of the following are met:

6.6 Workers shall be provided with at least one day off in every 7-day period or, where allowed by national law, 2 days off in every 14-day period.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Overtime was voluntary through employees' interview.
- Fingerprint system was used for recording the working hours of all employees.
- The normal working hours were 8 hours per day and 40 hours per week.
- The peak season was not obvious according to management interview.
- According to provided attendance records, the maximum overtime hour was 56 hours a month, 2 hours a day and the maximum weekly working hours was 54 hours. All employees had one day off per week.

Evidence examined:

Details:

- Employee interview
- Management interview
- Local and national laws
- Facility policy on working hours
- Timecards
- Sample pay slips with recorded hours all employees interviewed
- Employees contracts
- Attendance records from 1st October 2022 to 14th November 2023 were provided for review
- Inspection records, warehouse in-and-out records and production records to cross check hours

Any other comments:

None

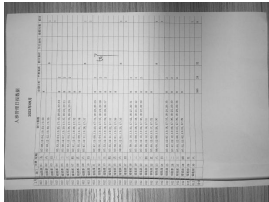
Working hours' analysis

Systems & Processes

What timekeeping systems are used?	Fingerprint system was used for recording the working hours of all employees.
Is sample size same as in wages section?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:

Are standard/contracted working hours defined in all contracts/employment agreements? (If no, please give details including % and which type of workers do NOT have standard hours defined in contracts/employment agreements.)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are there any other types of contracts/employment agreements used?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Do any standard/contracted working hours defined in contracts/employment agreements exceed 48 hours per week? (If yes, please detail hours, %, types of workers affected and frequency.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are workers provided with at least 1 day off in every 7-day-period, or 2 in 14-day-period?	<input checked="" type="checkbox"/> 1 in 7 days <input type="checkbox"/> 2 in 14 days <input type="checkbox"/> No (please explain)
Is this allowed by local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Maximum number of days worked without a day off (in sample):	6
Standard/Contracted Hours worked	
Were standard working hours over 48 hours per week found? (If yes, % of workers & frequency)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No % of workers: null% Frequency:
Any local waivers/local law or permissions which allow averaging/annualised hours for this site? (If yes, please give details.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Overtime Hours worked	
Actual overtime hours worked in sample (State per day/week/month)	Highest OT hours: 2 hours per day, 14 hours per week and 56 hours per month in September 2023 (current month); 2 hours per day, 12 hours per week and 48 hours per month in June 2023 (random month); 2 hours per day, 12 hours per week and 52 hours per month in March 2023 (random month).
Combined hours (standard or contracted + overtime hours = total) over 60 found?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: The maximum weekly working hours were 54.
Approximate percentage of total workers on highest overtime hours:	33.0%
Is overtime voluntary? (Please detail evidence e.g. Wording of contract / employment agreement / handbook / worker interviews / refusal arrangements)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Conflicting Information Please give details: Through employees' interview, all randomly selected employees stated that they worked overtime on their wills. And they could refuse to work overtime if they did not want to. Through document review, it was noted that the facility did not use monetary penalties as disciplinary means.

Overtime premium	
Are the correct legal overtime premiums paid? (Please give details of normal day overtime premium as a % of standard wages)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A – there is no legal requirement to OT premium Please give details: The facility paid 150%, 200% and 300% of the normal wages for the extension of working hours on weekdays, overtime work on rest days and holidays respectively.
Is overtime paid at a premium?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 100% employees were paid according to the legal premium rate monthly.
If the site pays less than 125% OT premium and this is allowed under local law, are there other considerations? Please complete the boxes where relevant.	<input type="checkbox"/> No <input type="checkbox"/> Consolidated pay <input type="checkbox"/> Collective Bargaining agreements <input checked="" type="checkbox"/> Other
Please give details	N/A. The facility should pay no less than 150% of normal wages for the extension of working hours on normal days.
If more than 60 total hours per week and this is legally allowed, are there other considerations? Please complete the boxes where relevant. (Please explain any checked boxes above e.g. detail of consolidated pay / CBA or Other)	<input type="checkbox"/> Overtime is voluntary <input type="checkbox"/> Onsite Collective bargaining allows 60+ hours/week is voluntary <input type="checkbox"/> Safeguards are in place to protect worker's health and safety <input type="checkbox"/> Site can demonstrate exceptional circumstances <input checked="" type="checkbox"/> Other reasons (please specify)
Please give details	N/A. The maximum weekly working hours did not exceed 60 hours.
Please explain any checked boxes above e.g. detail of consolidated pay / CBA or other	N/A. All employees' weekly working hours were not more than 60 hours.
Is there evidence that overtime hours are being used for extended periods to make up for labour shortages or increased order volumes?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Overtime hours were exceeded the legal requirement.
If sufficient workers cannot be hired, are new working time arrangements explored to ensure that overtime is the exception rather than the rule?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Non-Compliance		Evidence																											
[Back to findings summary]																													
<table><tr><th colspan="2">Non-Compliance</th></tr><tr><td>Status</td><td>OPEN</td></tr><tr><td>Reference</td><td>ZAF600246931</td></tr><tr><td>Clause</td><td>6 - Working Hours are not Excessive</td></tr><tr><td>Issue Title</td><td>480 - Overtime is not used responsibly i.e. extent, frequency and level of hours worked by individual workers and / or whole workforce are excessive</td></tr><tr><td>Subcategory</td><td>Overtime</td></tr><tr><td>New or carried over?</td><td><input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over</td></tr><tr><td>Root cause</td><td><input type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input checked="" type="checkbox"/> Lack of workers <input type="checkbox"/> Other</td></tr><tr><td>Root cause - Other</td><td></td></tr><tr><td>Local law issue</td><td>In accordance with the PRC Labour Law article 41 The employing unit may extend working hours due to the requirements of its production or business after consultation with the trade union and labourers, but the extended working hour for a day shall generally not exceed one hour; if such extension is called for due to special reasons, the extended hours shall not exceed three hours a day under the condition that the health of labourers is guaranteed. However, the total extension in a month shall not exceed thirty-six hours.</td></tr><tr><td>ETI code</td><td>6.1 - Working hours must comply with national laws, collective agreements, and the provisions of 6.2 to 6.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.</td></tr><tr><td>Explanation to the non compliance</td><td>Overtime hours exceeded the legal requirement. Through document review, auditor found that the monthly overtime hours of 10 out of 10 randomly selected employees were 54-56 hours in September 2023 (current month), the monthly overtime hours of 10 out of 10 randomly selected employees were 48 hours in June 2023 (random month), the monthly overtime hours of 10 out of 10 randomly selected employees were 52 hours in March 2023 (random month). 加班时间超过法规要求。通过文件审核，审核员发现在抽取的2023年9月份（当前月）的考勤中，10名随机抽取的员工中有10人的月加班时间为54-56小时；2023年6月份（随机月）的考勤中，10名随机抽取的员工中有10人的月加班时间为48小时；2023年3月份（随机月）的考勤中，10名随机抽取的员工中有10人的月加班时间为52小时。</td></tr><tr><td>Follow up method</td><td><input checked="" type="checkbox"/> Follow up audit <input type="checkbox"/> Desktop audit</td></tr></table>			Non-Compliance		Status	OPEN	Reference	ZAF600246931	Clause	6 - Working Hours are not Excessive	Issue Title	480 - Overtime is not used responsibly i.e. extent, frequency and level of hours worked by individual workers and / or whole workforce are excessive	Subcategory	Overtime	New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	Root cause	<input type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input checked="" type="checkbox"/> Lack of workers <input type="checkbox"/> Other	Root cause - Other		Local law issue	In accordance with the PRC Labour Law article 41 The employing unit may extend working hours due to the requirements of its production or business after consultation with the trade union and labourers, but the extended working hour for a day shall generally not exceed one hour; if such extension is called for due to special reasons, the extended hours shall not exceed three hours a day under the condition that the health of labourers is guaranteed. However, the total extension in a month shall not exceed thirty-six hours.	ETI code	6.1 - Working hours must comply with national laws, collective agreements, and the provisions of 6.2 to 6.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.	Explanation to the non compliance	Overtime hours exceeded the legal requirement. Through document review, auditor found that the monthly overtime hours of 10 out of 10 randomly selected employees were 54-56 hours in September 2023 (current month), the monthly overtime hours of 10 out of 10 randomly selected employees were 48 hours in June 2023 (random month), the monthly overtime hours of 10 out of 10 randomly selected employees were 52 hours in March 2023 (random month). 加班时间超过法规要求。通过文件审核，审核员发现在抽取的2023年9月份（当前月）的考勤中，10名随机抽取的员工中有10人的月加班时间为54-56小时；2023年6月份（随机月）的考勤中，10名随机抽取的员工中有10人的月加班时间为48小时；2023年3月份（随机月）的考勤中，10名随机抽取的员工中有10人的月加班时间为52小时。	Follow up method	<input checked="" type="checkbox"/> Follow up audit <input type="checkbox"/> Desktop audit	<div><p><u>NC-Overtime hours exceeded the legal requirement.jpg</u></p></div>
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Follow up method	<input checked="" type="checkbox"/> Follow up audit <input type="checkbox"/> Desktop audit																												

Timescale	<input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The facility would hire more employees to reduce the overtime hours to ensure it is within 36 hours per month. Ensure legal requirements are followed.	

7 - No Discrimination is Practiced [Summary of Findings]

7: Compliance Requirements

7.1 There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- The facility tour showed workforce was comprised of male and female employees.
- The interviewed employees stated that there was no issue of discrimination in this facility.
- Through management and employee interview, it was noted that female employees were not asked for pregnancy test.

Evidence examined:

Details:

- Employment contracts were provided for review and they showed that male and female employees were on the same pay grade.
- The facility rule indicated that there was no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on age, disability or gender, etc.
- Facility tour
- Management interview and employee interview

Any other comments:

None

Gender breakdown of Management + Supervisors (Include as one combined group)	Male: 50.0%			Female: 50.0%		
Number of women who are in skilled or technical roles (e.g. where specific qualifications are needed i.e. machine engineer / laboratory analyst)	0. No such role in the facility.					
Is there any evidence of discrimination based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation?	<input type="checkbox"/> Hiring		<input type="checkbox"/> Compensation		<input type="checkbox"/> Access to training	
	<input type="checkbox"/> Promotion		<input type="checkbox"/> Termination or retirement		<input checked="" type="checkbox"/> No evidence of discrimination found	
Please give details	No any type of discrimination was found during this audit.					
Professional Development						
What type of training and development are available for workers?	Working skills and private capability improvement training, health and safety training, etc. were provided to employees.					
Are HR decisions e.g. promotion, training, compensation based on objective, transparent criteria? (If no, please provide details)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No					

8 - Regular Employment Is Provided [Summary of Findings]

8: Compliance Requirements

8.1 To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.

8.2 Obligations to employees under labour or social security laws and regulations arising from the regular employment relationship shall not be avoided through the use of labour-only contracting, sub-contracting, or home-working arrangements, or through apprenticeship schemes where there is no real intent to impart skills or provide regular employment, nor shall any such obligations be avoided through the excessive use of fixed-term contracts of employment.

Additional Elements: Responsible Recruitment

8.3 Suppliers have full understanding of the entire recruitment process and assess all labour recruiters and intermediaries against legal and/or ethical requirements.

8.4 There are effective management systems in place to identify and monitor the hiring and management of all migrant workers, contract workers, agency workers, temporary or casual labour. The supplier shall implement processes to enable adequate control over agencies with regards the above points and related legislation.

8.5 Employment agencies must only supply workers registered with them.

8.6 Workers pay no recruitment fee at any stage of the recruitment process.

8.7 Worker contracts accurately reflect the agreed payment and terms in the recruitment process and are understood and signed by workers.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- The facility had signed labour contracts with all employees of the audited facility within one month when they were recruited, and the probationary period was in compliance with the requirements of local law.
- All employees were recruited by the facility directly. No labour agency was used to hire employees. No temporary employee, apprenticeship schemes or home employee was identified by auditor.

Evidence examined:

Details:

- Personnel files of all employees were provided for review and they all include a copy of employee's contract.
- The facility rule indicated that every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.
- Management interview and employee interview.

Any other comments:

None

Responsible Recruitment

All Workers

Were all workers presented with terms of employment at the time of recruitment, did they understand them and are they same as current conditions?

- ☒ Terms & Conditions presented ☒ Understood by workers
- ☒ Same as actual conditions

Did workers pay any fees, taxes, deposits or bonds for the purpose of recruitment/placement? (If yes, please describe details and specific category(ies) of workers affected)

- ☐ Yes ☒ No

Migrant Workers

Type of work undertaken by migrant workers:	All types of work in the facility include migrant workers.
Please give details about recruitment agencies for migrant workers:	Number of (in country) recruitment agencies used: 0 Number of (outside of local country) recruitment agencies used: 0
Are migrant workers' voluntary deductions (such as for remittances) confirmed in writing by the worker and is evidence of the transaction supplied by the facility to the worker?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No such deduction in the facility.
Is there any observation on this finding?	None
Are any migrant workers in skilled, technical or management roles? (This should include all migrant workers including permanent workers, temporary and/or seasonal workers)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 1 production manager and 1 admin manager were migrant employees.
Non-employee workers	
Recruitment Fees	
Are there any fees?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Agency Workers (if applicable) (Workers sourced from a local agent who are not directly paid by the site, but paid by the agency. Usually the agencies are paid by the site and the wages of the individual workers are paid by the agency.)	
Number of agencies used (average):	0
Please provide the names of agencies if applicable	N/A. The facility hired all employees directly.
Were agency workers' age / pay / hours included within the scope of this audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Were sufficient documents for agency workers available for review?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there a legal contract agreement with all agencies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A. The facility hired all employees directly.
Does the site have a system for checking labour standards of agencies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A. The facility hired all employees directly.
Contractors (Contractors in this context are generally individuals who supply several workers to a site. Usually the contractors are paid by the site and the wages of the workers are paid by the contractor. Common terms include, gang bosses, labor provider.)	
Any contractors on site?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No contractor employee was used by the facility.
Do all contractor workers understand their terms of employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A. No contractor employee was used by the facility.

8A - Sub-Contracting and Homeworking [Summary of Findings]

8A: Compliance Requirements

8.A.1 There should be no sub-contracting unless previously agreed with the main client.

8.A.2 Systems and processes should be in place to manage sub-contracting, homeworking and external processing.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- The factory had established a policy to ensure sub-contracting would not be used unless previously agreed with the main clients.
- All processes were finished within the factory.
- No sub-contracting was used by this factory.
- No home-working was used by this factory.

Evidence examined:

Details:

- Policy on sub-contracting
- Reviewing of the production records such as materials receiving and issuing records.
- Facility tour (calculation on total production and estimated capacity)

Any other comments:

None

Summary of sub-contracting – if applicable

Is there any sub-contracting at this site? ☐ Yes ☒ No

Summary of homeworking – if applicable

Is homeworking used at this site? ☐ Yes ☒ No

9 - No Harsh or Inhumane Treatment is Allowed
[Summary of Findings]

9: Compliance Requirements

9.1 Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited.

9.2 companies should provide access to a confidential grievance mechanism for all workers

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Through documentation review, the facility established a written disciplinary procedure for employees' misbehaviour which included oral warning, education, warning letter and finally termination, and provided the training program for all employees on the procedure. It was confirmed that employees were aware of the disciplinary procedure through employees' interview.
- Through management interview, document review and employees' interview, there was a policy on prevention of harsh treatment.
- There was an internal process for grievance, which was a suggestion box, where employees can report any grievances (such as sexual harassment, bullying, physical abuse and discrimination), and any received complaint will be handled by management without any reprisal for the employee in question. All interviewed employees were aware of this process. The grievance mechanisms were legitimate, accessible and equitable.

Evidence examined:

Details:

- The policy on prevention of harassment and abuse
- Internal grievance procedure
- Training records
- Employees' interview and management interview
- Facility tour

Any other comments:

None

Are there published, anonymous and/or open channels available for reporting any violations of Labour standards and H&S or any other grievances to a 3rd party?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility provided a grievance mechanism to employees (such as worker representatives and suggestion box) to report any violations of Labour standards and H&S or any other grievances. And the reporter would be confidential for all reporters.
If yes, are workers aware of these channels and have access? Please give details.	Through employees' interview, all randomly selected employees stated that they were aware of this channel.
If yes, what type of mechanism is used e.g. hotline, whistle blowing mechanism, comment box etc. Please give details.	Worker representatives and suggestion box
Which of the following groups is there a grievance mechanism in place for?	<input checked="" type="checkbox"/> Worker <input checked="" type="checkbox"/> Communities <input checked="" type="checkbox"/> Suppliers <input type="checkbox"/> Other
Please provide grievance mechanism details	Workers could anonymously report any issues through the grievance mechanism without any punishment or vengeance.

Are there any open disputes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Does the site encourage its business partners (e.g. suppliers) to provide individuals and communities with access to effective grievance mechanisms (e.g. helplines or whistle blowing mechanism)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Is there a published and transparent disciplinary procedure?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
If yes, are workers aware of these the disciplinary procedure?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Does the disciplinary procedure allow for deductions from wages (fines) for disciplinary purposes (see wages section)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:

10A - Entitlement to Work and Immigration
[Summary of Findings]

10A: Compliance Requirements

10.A.1 Only workers with a legal right to work shall be employed or used by the supplier.

10.A.2 All workers, including employment agency staff, must be validated by the supplier for their legal right to work by reviewing original documentation.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

Per document review, facility management representation and employee interview, all employees in the facility were Chinese, there were 1 local employee and 13 migrant employees. All employees had the proper legal rights to work in this region. The youngest age was 22 years old. All employees were hired by the facility directly. No agency staff or foreign employee was used by the facility.

Evidence examined:

Details:

- Employment contracts and hiring policy were reviewed and they contained the clause that only employees with a legal right to work will be hired by the company.
- Management interview and employee interview

Any other comments:

None

10B4 - Environment 4-Pillar [Summary of Findings]

10B4: Compliance Requirements

10.B4.1 Businesses as a minimum must meet the requirements of local and national laws related to environmental standards.

10.B4.2 Where it is a legal requirement, businesses must be able to demonstrate that they have the relevant valid permits including for use and disposal of resources e.g. water, waste etc.

10.B4.3 Businesses shall be aware of their end client's environmental standards/code requirements

10.B4.4 Suppliers should have an environmental policy, covering their environmental impact, which is communicated to all appropriate parties, including its own suppliers.

10.B4.5 Suppliers shall be aware of the significant environmental impact of their site and its processes.

10.B4.6 The site should measure its impacts, including continuous recording and regular reviews of use and discharge of natural resources e.g. energy use, water use (see 4-pillar audit report and audit checks for details).

10.B4.7 Businesses shall make continuous improvements in their environmental performance.

10.B4.8 Businesses shall have available for review any environmental certifications or any environmental management systems documentation

10.B4.9 Businesses should have a nominated individual responsible for co-ordinating the site's efforts to improve environmental performance.

10B4: Guidance for Observations

10.B4.10 Suppliers should have completed the appropriate section of the SAQ and made it available to the auditor.

10.B4.11 Has the site recently been subject to (or pending) any fines/prosecutions for noncompliance to environmental regulations.

Note for auditors and readers. This environment section is intended to take not more than 0.25 auditor days. It is an assessment only and the main requirement is to establish whether a site is meeting applicable environmental laws and/or has any certifications or environmental management systems in place. Following this assessment the client/supplier may decide a full environmental audit is required (see also best practice guidance/environment and guidance for auditor)

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

1. Mr. Liu Yunsheng / Manager was responsible for the environment management system in the facility.
2. The facility had provided the Environmental Impact Assessment (EIA), EIA approval, Environmental protection acceptance checks report for completed construction project, etc. for review.
3. The facility had written environmental policy and an environmental management system was in place.
4. No hazardous material or waste was found in this facility.
5. An adequate and effective program was in place, including objectives and targets to identify, manage and reduce the impact of all types of wastes.
6. The facility conducted a risk assessment to evaluate the significant environmental impacts of its site and processes and was aware of the significant environmental impact of their site and its processes.
7. The annual monitoring report for noise, wastewater and waste gas showed the pollutant discharging was compliance with environmental law.
8. Based on observation on site, wastes were classified and collected on site.
9. Based on employees' interview, they were trained on environmental protection.

Evidence examined:

Details:

1. Environmental Impact Assessment (EIA)
2. EIA approval
3. Environmental protection acceptance checks report for completed construction project
4. Environment training records and materials
5. Environmental policy
6. Waste management procedure
7. Pollution monitoring report
8. Energy bills
9. Water bill
10. Employees' interview and management interview
11. Site tour

Any other comments:

None

Environmental Analysis	
Is there a manager responsible for Environmental issues (Name and Position):	Mr. Liu Yunsheng / Manager
Has the site conducted a risk assessment on the environmental impact of the site, including implementation of controls to reduce identified risks?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Risk assessment on the environmental impact of the site was provided for review.
Does the site have a recognised environmental system certification such as ISO 14000 or equivalent?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: The facility did not obtain such certification.
Does the site have an Environmental policy?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If yes, is it publicly available?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If yes, does it address the key impacts from their operations and their commitment to improvement?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The policy has included their commitment to continuous improvement environmental performance.
Does the site have a Biodiversity policy?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any other sustainability systems present such as Chain of Custody, Forest Stewardship Council (FSC), Marine Stewardship Council (MSC) etc.?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: The facility did not have any environmental certifications.
Have all legally required permits been shown?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility provided the environment impact assessment report and EIA approval, EPCA, etc. for review.

Is there a documentation process to record hazardous chemicals used in the manufacturing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable Please give details: Through onsite observation, management interview and employee interview, no hazardous chemicals were used in the facility..	
Is there a system for managing client's requirements and legislation in the destination countries regarding environmental and chemical issues?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: This was included in the facility's internal management system.	
Facility has reduction targets in place for environmental aspects e.g. water consumption and discharge, waste, energy and green-house gas emissions:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Reduction target was included in environmental policy.	
Facility has evidence of waste recycling and is monitoring volume of waste that is recycled.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: No waste needed to recycle in the facility. The facility was only monitoring volume of waste that was recycled by qualified suppliers and provided related documents for review.	
Does the facility have a system in place for accurately measuring and monitoring consumption of key utilities of water, energy and natural resources that follows recognised protocols or standards?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Water and energy consumption records were provided for review.	
Has the facility checked that any Sub-Contracting agencies or business partners operating on the premises have the appropriate permits and licences and are conducting business in line with environmental expectations of the facility?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: This was included in assessment of suppliers.	
Usage/Discharge analysis		
Criteria	Previous year: 2022	Current year: 2023
Electricity Usage: Kw/hrs	183268	150486
Renewable Energy Usage: Kw/hrs	0	0
Gas Energy Usage: Kw/hrs	0	0
Has site completed any carbon Footprint Analysis?	No	No
If Yes, please state result		
Water Sources	Local water authority	Local water authority
Water Volume Used	3042	2757
Water Discharged	Municipal sewage network	Municipal sewage network
Water Volume Discharged	3042	2757
Water Volume Recycled	0	0

Total waste produced	0.7 tons	0.5 tons
Total hazardous waste produced	0	0
Waste to recycling	0	0
Waste to landfill	0	0
Waste to other	0	0
Total Product Produced	1200000 pieces	1000000 pieces

10C - Business Ethics – 4-Pillar Audit [Summary of Findings]

10C: Compliance Requirements

10.C.1 Businesses shall conduct their business ethically without bribery, corruption, or any type of fraudulent Business Practice.

10.C.2 Businesses as a minimum must meet the requirements of local and national laws related to bribery, corruption, or any type of fraudulent Business Practices.

10.C.3 Where it is a legal requirement, businesses must be able to demonstrate that they comply with all fiscal legislative requirements.

10.C.4 Businesses shall have access to a transparent system in place for confidentially reporting, and dealing with unethical Business Ethics without fear of reprisals towards the reporter.

10.C.5 Businesses should have a Business Ethics policy, covering bribery, corruption, or any type of fraudulent Business Practice,

10.C.6 Businesses should have a designated person responsible for implementing standards concerning Business Ethics

10.C.7 Suppliers should ensure that the staff whose job roles carry a higher level of risk in the area of ethical Business Practice e.g. sales, purchasing, logistics are trained on what action to take in the event of an issue arising in their area.

10C: Guidance for Observations

10.C.8 Businesses should communicate their Business Ethics policy, covering bribery, corruption, or any type of fraudulent Business Practice to all appropriate parties, including its own suppliers.

10.C.9 Has the site recently been subject to (or pending) any fines/prosecutions for non-compliance to Business Ethics regulations. If so is there evidence that sustainable corrective actions have been implemented

Note for auditors and readers. This Business Ethics section is intended to take not more than 0.25 auditor days. It is an assessment not an audit.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

1. There was no identified risk that employees who refuse to participate in bribery, facilitation payments or who have declared conflicts of interest are not supported by the business or suffer demotion, penalty or other adverse consequences even if this action may result in the enterprise losing business.
2. The facility had a policy for promoting workers/employees to declare conflicts of interest and a procedure for protecting employees from refusing to do anything in non-conformance with the ethics policy.
3. The facility encouraged all employees and employee of suppliers to report suspected violations of business conduct. The facility set confidential reporting channels including grievance box, hot line and any reporting channel can be available for workers at any time and hotline were available for employees of suppliers to confidentially report any misconduct.
4. The business ethics policies were included in the employee handbook, covering bribery, corruption, or any type of fraudulent Business Practice. All employees received a copy, and their induction included training in these policies. Employees were aware of the company policies.
5. The employees and management were trained on Business Ethics Policy/Procedure through orientation training and annual refresh training.
6. Business Ethics Policy/Procedure was transmitted to the suppliers by written agreement.
7. Mr. Liu Yunsheng / Manager was the designated person responsible for implementing standards concerning Business Ethics.

Evidence examined:

Details:

1. Business ethics policies/Procedures.
2. Training records and training materials.
3. Employee handbook.
4. Written agreement with suppliers.
5. Employee interview and management interview.

Any other comments:

None

Does the facility have a Business Ethics Policy and is the policy communicated and applied internally, externally or both, as appropriate?

- ☒ Internal Policy
☒ Policy for third parties including suppliers

Please give details:

The facility had a formal policy on highest integrity business standards and zero tolerance on all forms of bribery, corruption, extortion and embezzlement in place, which was applied internally from employees to senior manager and externally for its own suppliers.

Does the site give training to relevant personnel (e.g. sales and logistics) on business ethics issues?

- ☒ Yes ☐ No

Please give details:

The facility has provided training for management and workers on policy on zero tolerance on all forms of bribery, corruption, extortion and embezzlement and conflict of interest process.

Is the policy updated on a regular (as needed) basis?

- ☒ Yes ☐ No

Please give details:

The facility reviewed its business ethics policy regularly.

Does the site require third parties including suppliers to complete their own business ethics training

- ☒ Yes ☐ No

Please give details:

The facility had communicated the business ethics to its own suppliers by written agreement.

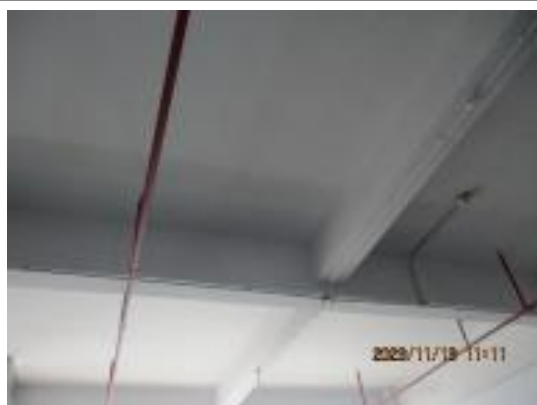
Attachments



Production building.JPG



PPE sign.JPG



Sprinkling.JPG



Suggestion box.JPG



Toilet.JPG



Warehouse.JPG



PPE sample.JPG



Polishing.JPG



Packing.JPG



Laser welding.JPG



Facility entrance.JPG



Facility name.JPG



First aid box.JPG

2023 年 10 月应缴社会保险费清单

社保机构: 442053 单位名称: 东莞市展业礼品有限公司 单位社保号: 33300508 单位: 元 打印日期: 2023-10-27

险种	人数	平均缴费基数	本月应缴		补缴金额		应缴年月	利息	滞纳金	合计
			单位	个人	单位	个人				
社会保险费合计	45	4566.00	15606.40	3530.80	0.00	0.00	202310	0.00	0.00	19137.20
基本养老保险	45	3100.00	11480.00	2520.00	0.00	0.00	202310	0.00	0.00	13999.99
基本医疗保险	45	4172.00	1867.80	358.80	0.00	0.00	202310	0.00	0.00	2226.60
工伤保险	45	3100.00	50.00	0.00	0.00	0.00	202310	0.00	0.00	50.00
失业保险	45	4172.00	252.11	0.00	0.00	0.00	202310	0.00	0.00	252.11
合计			13900.91	3878.80	0.00	0.00	202310	0.00	0.00	17979.70

说明: 1. 此清单为系统自动生成, 不作为法律依据。
2. 缴费单位上月未缴之社会保险费滞纳金, 按本表的滞纳金为上限, 以税务局核定滞纳金标准为准。

NC-Insufficient social insurance participated.jpg



Evacuation map.JPG



Fire hydrant and fire alarm.JPG



Exit with emergency light and exit sign.JPG



Drinking water.JPG



Electricity box with warning sign.JPG



Extinguisher.JPG



Attendance recorder.JPG



Assembly.JPG



Cutting.JPG



CNC.JPG



Drilling.JPG



Evacuation indication sign.JPG

人事管理日报数据

2023年09月

工号	姓名	部门	日期	出勤	加班	备注
001	张明	生产部	09/01	8:00-18:00		
002	李华	生产部	09/01	8:00-18:00		
003	王强	生产部	09/01	8:00-18:00		
004	赵伟	生产部	09/01	8:00-18:00		
005	孙丽	生产部	09/01	8:00-18:00		
006	周涛	生产部	09/01	8:00-18:00		
007	吴昊	生产部	09/01	8:00-18:00		
008	郑宇	生产部	09/01	8:00-18:00		
009	冯鑫	生产部	09/01	8:00-18:00		
010	陈浩	生产部	09/01	8:00-18:00		
011	林峰	生产部	09/01	8:00-18:00		
012	罗杰	生产部	09/01	8:00-18:00		
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10/10: 14

NC-Overtime hours exceeded the legal requirement.jpg



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Your feedback on your experience of the SMETA audit you have observed is extremely valuable. It will help to make improvements to future versions.

You can leave feedback by following the appropriate link to our questionnaire:

[Click here for Buyer \(A\) & Buyer/Supplier \(A/B\) members:](https://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d)

[http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d](https://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d)

[Click here for Supplier \(B\) members:](https://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRglY_2brg_3d_3d)

[http://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRglY_2brg_3d_3d](https://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRglY_2brg_3d_3d)

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