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Auditee :	<b>Shandong Sinchem Silica Gel Co., Ltd</b>
Audit Date From :	<b>18/01/2019</b>
Audit Date To :	<b>18/01/2019</b>
Expiry Date of the Audit :	<b>Please refer to the producer profile in the amfori BSCI platform</b>
Auditing Company :	<b>TUEV NORD GROUP</b>
Auditor's Name(s) :	<b>Johnson Liu(Lead)</b>
Auditing Branch (if applicable) :	

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



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

**Main Auditee Information**



Name of producer :	<b>Shandong Sinchem Silica Gel Co., Ltd</b>		
DBID number :	<b>343591</b>		
Audit ID :	<b>142495</b>		
Address :	<b>Xinxu industrial zone, Dongguo town, Tengzhou city Zaozhuang</b>		
Province :	<b>Shandong</b>	Country :	<b>China</b>
Management Representative :	<b>Li Fuqiang</b>		
Contact person:	<b>Fuqiang Li</b>	Sector :	<b>Non-Food</b>
Industry Type :	<b>Live animals and related products</b>	Product group :	<b>Pets, animal and pets food</b>
Product Type :	<b>Silica gel</b>		

**Audit Details**



Audit Range :	<input type="checkbox"/> Full Audit	<input checked="" type="checkbox"/> Follow-up Audit	
Audit Scope :	<input checked="" type="checkbox"/> Main Auditee	<input type="checkbox"/> Main Auditee & Farms	
Audit Environment :	<input checked="" type="checkbox"/> Industrial	<input type="checkbox"/> Agricultural	<input type="checkbox"/> Small Producer
Audit Announcement :	<input checked="" type="checkbox"/> Fully-Announced	<input type="checkbox"/> Fully-Unannounced	<input type="checkbox"/> Semi-Announced
Random Unannounced Check (RUC) :	<b>No</b>		
Audit extent (if applicable) :	<b>none</b>		
Audit interferences or contingencies (if applicable) :	<b>none</b>		
Overall rating :	<b>C</b>		
Need of follow-up :	<b>Yes</b>	If YES, by : <b>18/01/2020</b>	

**Rating per Performance Area (PA)**

PA 1	PA 2	PA 3	PA 4	PA 5	PA 6	PA 7	PA 8	PA 9	PA 10	PA 11	PA 12	PA 13
<b>D</b>	<b>B</b>	<b>A</b>	<b>A</b>	<b>A</b>	<b>D</b>	<b>A</b>	<b>A</b>	<b>A</b>	<b>A</b>	<b>A</b>	<b>A</b>	<b>A</b>

**Executive summary of audit report**

This is follow-up audit authorized by BSCI Member.

[Location and size]:  
Shandong Sinchem Silica Gel Co., Ltd. (山东辛化硅胶有限公司) was founded in February 2007, which located at Xinxu industrial zone, Dongguo town, Tengzhou city, Shandong Province, China. (中国山东省滕州市东郭镇辛绪村)

The auditee consisted one flat, one 2-storey (partial 3-storey) building as production floors. The first floor of one 4-storey building was used as office. One 4-storey building was used as dormitories, the canteen and kitchen located on the first floor of dormitory building.

The main products manufactured by the factory were Silica gels.

The main process included Washing, Screening, Ovening, Gel Making, Inspection and packing.

[Employee analysis]:  
There were 280 employees working in the factory. All employees were permanent employees.  
All workers were above 18 years old.

[Summary of working hours]:  
Factory used fingerprinting attendance system to record working time.  
Factory provided the working time records from July 2018 to audit day for review.

[Summary of compensation]:  
The local minimum wages was RMB1730 per month since June 2018 and RMB1640 per month before June 2018.  
The factory provided payrolls from July to December 2018 for review. Workers were paid before 20th day after working period through bank transfer. The company didn't participate social insurance for 100% employees. latest 3 months' social insurance receipts were provided for review. The number of people participating in social insurances was basically stable. Through reviewing the social insurance receipt of December 2018, it was noted that 96 employees had participated in retirement, unemployment, childbearing, medical and work-related injury insurances. In addition, the factory had purchased commercial life insurance from Ping'An Property & Casualty Insurance Company for all employees, the contract period was one year from 13 April 2018.

[Summary of Interview]:  
Worker interviews were conducted individually and in group.  
Randomly selected 8 employees, no complaint was raised.

[Special scene during on site observed]:  
There were two factories in the boundary. Except for auditee, another factory was named Tengzhou Xinxu Chemical Co., Ltd. Both factories were subsidiary companies under one group, but they have had different business. The other factory only produced products for domestic marketing. This audit only covered Shandong Sinchem Silica Gel Co., Ltd.

**Ratings Summary**



Auditee's background information			
Auditee's name :	<b>Shandong Sinchem Silica Gel Co., Ltd</b>	Legal status :	<b>Limited Company</b>
Local Name :	<b>山东辛化硅胶有限公司 (91370481798697504P)</b>	Year in which the auditee was founded :	<b>2007</b>
Address :	<b>Xinxu industrial zone, Dongguo town, Tengzhou city</b>	Contact person (please select) :	<b>Fuqiang Li</b>
Province :	<b>Shandong</b>	Contact's Email :	<b>office@sinchem.net</b>
City :	<b>Zaozhuang</b>	Auditee's official language(s) for written communications :	<b>Chinese</b>
Region :	<b>North East Asia</b>	Other relevant languages for the auditee :	<b>English</b>
Country :	<b>China</b>	Website of auditee (if applicable) :	<b>www.sinchem.com.cn</b>
GPS coordinates :	<b>N35°09'25.23" E117°17'29.18"</b>	Total turnover (in Euros) :	<b>51200000.00</b>
Sector :	<b>Non-Food</b>	Of which exports % :	<b>80.00</b>
Industry :	<b>Live animals and related products</b>	Of which domestic market % :	<b>20.00</b>
If other, please specify :		Production volume :	<b>80000 ton</b>
Product Group :	<b>Pets, animal and pets food</b>	Production cost calculation :	<b>Yes</b>
If other, please specify :		Lost time injury calculation cost :	<b>No</b>
Product Type :	<b>Silica gel</b>		

Auditee's employment structure at the time of the audit			
Total number of workers :	<b>280</b>	Total number of workers in the production unit to be monitored (if applicable) :	<b>0</b>
	<b>MALE WORKERS</b>	<b>FEMALE WORKERS</b>	
Permanent workers	<b>162</b>	<b>118</b>	
Temporary workers	<b>0</b>	<b>0</b>	
In management positions	<b>41</b>	<b>7</b>	
Apprentices	<b>0</b>	<b>0</b>	
On probation	<b>0</b>	<b>0</b>	
With disabilities	<b>0</b>	<b>0</b>	
Migrants (national citizens)	<b>1</b>	<b>0</b>	
Migrants (foreign citizens)	<b>0</b>	<b>0</b>	
Workers on the permanent payroll	<b>162</b>	<b>118</b>	
Production based workers	<b>121</b>	<b>111</b>	
With shifts at night	<b>60</b>	<b>40</b>	
Unionised	<b>0</b>	<b>0</b>	
Pregnant	<b>-</b>	<b>0</b>	
On maternity leave	<b>-</b>	<b>0</b>	

**Finding Report**



<b>Performance Area 1 : Social Management System and Cascade Effect</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: D	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, the auditee had pointed one manager to ensure the BSCI program are followed in satisfactory manner. And the BSCI Code of Conduct had been posted on site for employees' knowledge. The producer had established a qualified suppliers list. They required all suppliers to sign a commitment regarding social responsibility. For main suppliers, they conducted on-site assessment to evaluate their performance and the relevant report and corrective action were kept for tracking. The findings raised on 1st Follow-up audit were not corrected. However, based on satisfactory evidence, the main auditee did not respect this principle.</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有指定一名管理层来确保BSCI项目执行情况。现场有张贴BSCI行为准则, 方便员工了解。受审核方建立了一份合格供应商名单。他们要求所有的供应商签一份社会责任承诺书。对于主要的供应商, 他们会进行现场评估其供应商的表现, 并保存相关的报告及整改资料以便跟进。第一次跟进审核发现的问题点没有关闭。但是, 基于令人满意的证据, 主要受审核方没有完全尊重这个原则。</p>	
1.1 -	<p>The company had established social accountability management system according to BSCI requirement, but there were insufficient performance in the below areas such working hours, social benefits and health &amp; safety etc.</p> <p>工厂虽然依照BSCI 要求建立社会责任管理体系, 但是在以下区域如工作时间, 社会福利, 健康安全等方面没有完全执行到位。</p>
1.4 -	<p>The company didn't have a good capacity planning to meet the expectations of the delivery order led to workers had excessive overtime work in past months</p> <p>工厂没有一个完善的产能计划去完成预期的订单交货以致于员工在过去月份有超时加班。</p>
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: D	Deadline date:20/10/2018
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory established completed policy and procedure on social accountability. For example, the procedures on forbidden hiring child labour, forbidden hiring bonded labour, dealing with internal grievances, training workers were established by the factory. Mr. Li Fuqiang / Office director was BSCI representative and took whole charge of BSCI affairs in the factory. The factory also established policy with respect to the selection, management and monitoring of its own significant business partners. The working hours controlling system is established, but the factory did not implement it effectively which resulted in the excessive working hours and etc. However, gaps had been found during the audit:</p> <p>工厂建立了完整的社会责任政策和程序, 例如程序中包括禁止使用童工, 禁止使用强迫劳工, 内部申诉系统, 员工培训等内容。李夫强/办公室主任被工厂指定为BSCI负责人, 统筹整个工厂的BSCI事务。工厂还创建了供应商的筛选程序, 在选择供应商时, 工厂同样考虑到了其社会责任表现。同样, 工厂创建了完整的工时管控系统, 按照员工的产能来匹配订单的交期, 但是发现工厂在执行方面和BSCI要求有差距。</p>	
1.1 -	<p>1st follow up audit on July 20, 2018: Open Finding: The main auditee partially respects this principle because the factory established BSCI management system, but the management did not understand the difference between short-term investment and long-lasting solutions lead to the factory did not establish effective long term goal/vision to protect workers according to the BSCI Code of Conduct.</p> <p>2018年7月20日第一次跟进审核结果: 打开 被审核方(生产商)部分遵循该准则。原因是工厂已建立BSCI管理系统, 但是工厂管理层未准确理解短期投资和长期解决方案之间的差异, 导致工厂没有按照BSCI要求建立有效长期目标来保护员工。</p>
1.4 -	<p>1st follow up audit on July 20, 2018: Open Finding: The main auditee partially respects this principle because although the factory established management system on workforce planing, but it was not running effectively as the workers' monthly overtime exceeded legal requirement.</p> <p>2018年7月20日第一次跟进审核结果: 打开 被审核方(生产商)部分遵循该准则。原因是生产商虽有建立人力资源规划管理机制, 但是由于发现工人月加班超出法规要求而未有效执行。</p>
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: D	Deadline date:16/09/2017
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory established completed policy and procedure on social accountability. For example, the procedures on forbidden hiring child labour, forbidden hiring bonded labour, dealing with internal grievances, training workers were established by the factory. Mr. Li Fuqiang / Office director was BSCI representative and took whole charge of BSCI affairs in the factory. The factory also established policy with respect to the selection, management and monitoring of its own significant business partners. The working hours controlling system is established, but the factory did not implement it effectively which resulted in the excessive working hours and etc. However, gaps had been found during the audit:</p> <p>工厂建立了完整的社会责任政策和程序, 例如程序中包括禁止使用童工, 禁止使用强迫劳工, 内部申诉系统, 员工培训等内容。李夫强/办公室主任被工厂指定为BSCI负责人, 统筹整个工厂的BSCI事务。工厂还创建了供应商的筛选程序, 在选择供应商时, 工厂同样考虑到了其社会责任表现。同样, 工厂创建了完整的工时管控系统, 按照员工的产能来匹配订单的交期, 但是发现工厂在执行方面和BSCI要求有差距。</p>	
1.1 -	<p>The main auditee partially respects this principle because the factory established BSCI management system, but the management did not</p>

understand the difference between short-term investment and long-lasting solutions lead to the factory did not establish effective long term goal/vision to protect workers according to the BSCI Code of Conduct.

被审核方(生产商)部分遵循该准则。原因是工厂已建立BSCI管理系统,但是工厂管理层未准确理解短期投资和长期解决方案之间的差异,导致工厂没有按照BSCI要求建立有效长期目标来保护员工。

- 1.4 -** The main auditee partially respects this principle because although the factory established management system on workforce planing, but it was not running effectively as the workers' monthly overtime exceeded legal requirement. 。  
被审核方(生产商)部分遵循该准则。原因是生产商虽有建立人力资源规划管理机制,但是由于发现工人月加班超出法规要求而未有效执行

Remarks from Auditee



<b>Performance Area 2 : Workers Involvement and Protection</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: B	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, the auditee had established the management procedure to ensure the workers involvement and information exchange on workplace issue. For finding 2.2, open. Finding 2.5, closed. The factory had established written procedure on how to handle grievance, which defined the content of Potential conflicts of interest and how to overcome them, timelines to address grievances, process for appeals or escalation as an additional guarantee etc. However, based on satisfactory evidence, the main auditee didn't respected this principle.</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有建立程序来选举员工代表, 确保员工的参与及在工作问题上的交流。问题点2.2, 没有关闭。2.5, 关闭, 工厂建立了书面的申诉程序, 该程序包含了潜在的利益冲突以及如何克服这些冲突, 提出申诉的时间表和时效性, 有上诉程序或升级投诉的程序作为额外担保等内容。但是, 基于令人满意的证据, 主要受审核方没有完全尊重这个原则。</p> <p><b>2.2 -</b> The auditee didn't define long term goals to protect workers according to the BSCI values and principles or its BSCI performance, including how to reduce overtime hours and improvements of social insurance compliance. 被审核方没有根据BSCI使命或愿意或其BSCI表现去定义长期的目标去保护员工, 比如降低加班时间和提高社保参保等。</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: C	Deadline date:20/10/2018
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>There was one worker committee in the factory and satisfactory evidence showed that there were freely elected worker representatives who met the management every month. According to interview statement with worker representative and workers, they were familiar with workplace-related issues, their labor right e.g. the law, work contracts, job description, working rules. And workers had morning meeting for getting the information of workplace-related issues, the factory also provided on-board training on workers' right to workers. It has been noted that the auditee had an internal grievance mechanism: the mechanism consisted of using suggestion boxes, worker representation and an open door policy on coming up with suggestion directly to workers' supervisor. All these processes were documented under procedures and integrated into worker trainings. However, gaps had been identified in implementation.</p> <p>工厂成立了员工组织, 并且由员工选举了员工代表, 代表每个月会定期和管理层见面。根据员工代表及员工的访谈信息, 员工代表以及员工都很清楚工厂所相关信息, 以及员工的劳工权利, 例如劳动法, 劳动合同, 工作描述以及厂纪厂规等。同时, 工厂每天会有早会的方式和员工沟通工厂场所的信息。而且, 工厂会给员工提供关于员工权利的入职培训。审核过程发现, 工厂建立了内部申诉系统, 员工可通过意见箱, 工会代表或直接和主管进行沟通等方式提供投诉。所有这些过程均可通过文件以及访谈来核实, 但也发现工厂在如下方面和BSCI要求有差距。</p> <p><b>2.2 -</b> 1st follow up audit on July 20, 2018: Open Finding: The main auditee does not respect this principle because no effective long term goals/vision was established to protect workers according to the BSCI Code of Conduct. 2018年7月20日第一次跟进审核结果: 打开 生产商因未根据BSCI行为准则定义有效地长期目标来保护员工而未遵守原则。</p> <p><b>2.5 -</b> 1st follow up audit on July 20, 2018: Open Finding: The main auditee partially respects this principle. Because the factory established grievance policy but the written procedure did not define the content of Potential conflicts of interest and how to overcome them, Timelines to address grievances, Process for appeals or escalation as an additional guarantee etc. 2018年7月20日第一次跟进审核结果: 打开 被审核方(生产商)部分遵循该准则。原因是工厂建立了申诉政策, 但是书面的申诉程序中未包括潜在的利益冲突以及如何克服这些冲突, 提出申诉的时间表和时效性, 有上诉程序或升级投诉的程序作为额外担保等内容。</p>	
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: C	Deadline date:16/09/2017
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>There was one worker committee in the factory and satisfactory evidence showed that there were freely elected worker representatives who met the management every month. According to interview statement with worker representative and workers, they were familiar with workplace-related issues, their labor right e.g. the law, work contracts, job description, working rules. And workers had morning meeting for getting the information of workplace-related issues, the factory also provided on-board training on workers' right to workers. It has been noted that the auditee had an internal grievance mechanism: the mechanism consisted of using suggestion boxes, worker representation and an open door policy on coming up with suggestion directly to workers' supervisor. All these processes were documented under procedures and integrated into worker trainings. However, gaps had been identified in implementation.</p> <p>工厂成立了员工组织, 并且由员工选举了员工代表, 代表每个月会定期和管理层见面。根据员工代表及员工的访谈信息, 员工代表以及员工都很清楚工厂所相关信息, 以及员工的劳工权利, 例如劳动法, 劳动合同, 工作描述以及厂纪厂规等。同时, 工厂每天会有早会的方式和员工沟通工厂场所的信息。而且, 工厂会给员工提供关于员工权利的入职培训。审核过程发现, 工厂建立了内部申诉系统, 员工可通过意见箱, 工会代表或直接和主管进行沟通等方式提供投诉。所有这些过程均可通过文件以及访谈来核实, 但也发现工厂在如下方面和BSCI要求有差距。</p> <p><b>2.2 -</b> The main auditee does not respect this principle because no effective long term goals/vision was established to protect workers according to the</p>	

<p>BSCI Code of Conduct. 生产商因未根据BSCI行为准则定义有效地长期目标来保护员工而未遵守原则。</p>	
2.5 -	<p>The main auditee partially respects this principle. Because the factory established grievance policy but the written procedure did not define the content of Potential conflicts of interest and how to overcome them, Timelines to address grievances, Process for appeals or escalation as an additional guarantee etc. 被审核方(生产商)部分遵循该准则。原因是工厂建立了申诉政策,但是书面的申诉程序中未包括潜在的利益冲突以及如何克服这些冲突,提出申诉的时间和时效性,有上诉程序或升级投诉的程序作为额外担保等内容。</p>
<p>Remarks from Auditee</p>	
<p><b>Performance Area 3 : The rights of Freedom of Association and Collective Bargaining</b></p>	
<p>3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A <span style="float: right;">Deadline date:</span></p>	
<p><b>GOOD PRACTICES:</b></p>	
<p><b>AREAS OF IMPROVEMENT:</b> Based on site observation, management and workers' interview and document review, there is no labor union in the company, but there were four employee representative voted by all employees in the auditee. Current four employee representative was voted by all employees on 15 October 2018. The last meeting between employee representatives and management was conducted on 25 October 2018. Employees could raise their concerns through suggestion box, employee representative or management directly. Based on satisfactory evidence, the main auditee respected this principle. 根据现场观察,管理层及员工访谈,文件审核,受审核方没有工会,但是有由所有员工选举的员工代表。本届4名员工代表于2018年10月15日由所有员工选举产生,员工代表与管理层最近一次会议是2018年10月25日召开。员工可以通过意见箱、工人代表,或直接向管理层反映自己的意见。基于令人满意的证据,主要受审核方尊重这个原则。</p>	
<p>Remarks from Auditee:</p>	
<p>2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E <span style="float: right;">Deadline date:</span></p>	
<p>Good practices</p>	
<p>Areas of improvement</p>	
<p>Remarks from Auditee</p>	
<p>1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A <span style="float: right;">Deadline date:</span></p>	
<p>Good practices</p>	
<p>Areas of improvement</p>	
<p>Remarks from Auditee</p>	
<p>Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: A <span style="float: right;">Deadline date:</span></p>	
<p>Good practices</p>	
<p>Areas of improvement</p> <p>Refer to PA 2, there was one worker committee in the factory and satisfactory evidence showed that there were freely elected worker representatives who met the management every month. Workers could freely join into trade union without the permission of the factory. No collective bargain agreement was concluded between the factory and workers, but the factory did not prevent workers from bargaining for the agreement. Based on the interview statement of worker representative, she was not discriminated by the factory and she also was one of production workers in the workshop. She had access to workers and workplace freely. 依照PA2的描述,工厂创建了员工组织并且依照员工意愿选举了员工代表。员工代表每个月和管理层见面,而且员工可以在管理层的影响下加入工会。审核过程中,工厂和员工无集体谈判协议,但工厂也未阻止员工有意愿的时候和工厂谈判。根据员工代表的访谈,在该工厂,员工代表不会被歧视,并且该代表本身是一名生产一线的员工,她可以随时进入车间和员工沟通。</p>	
<p>Remarks from Auditee</p>	

<b>Performance Area 4 : No Discrimination</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, the auditee established the Anti-discrimination policy and implemented it accordingly. Management and workers stated that the auditee prohibited pregnancy testing as a condition of employment or continued employment. Through documents review (such as personnel files, labor contracts, payroll records, attendance records and resignation records), management interview and works interview, no evidence showed that discrimination existed in the company. Based on satisfactory evidence, the main auditee respected this principle.</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有建立反歧视的政策, 并按要求执行。管理层及员工称被审核方严禁把做怀孕测试作为雇佣或继续雇佣的条件。通过文件审核(如人事档案、劳动合同、工资表、考勤记录及辞工记录)、管理层访谈、员工访谈, 未发现歧视。基于令人满意的证据, 主要受审核方尊重这个原则。</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory made one policy on anti-discrimination. The policy defined that the factory would not discriminate workers by race, gender and ages etc. And according to interview statement with workers, workers could use the grievance system through suggestion boxes or telling to trade union representatives once workers' right was infringed. Further more, the policy on discipline measures made by the factory was in line with legal requirement. All these processes could be verified by documents review and interview.</p> <p>工厂制定了反歧视的政策, 反歧视政策中表明工厂不会因为种族, 性别, 年龄等原因对员工区别对待。并且依照员工访谈, 若员工的权利受到任何侵害, 员工可以通过意见箱或和工会代表反馈的形式进行投诉。而且, 通过查看工厂的惩戒措施程序, 其描述的措施均符合法规和BSCI要求。以上通过文件和访谈核实。</p>	
<u>Remarks from Auditee</u>	

<b>Performance Area 5 : Fair Remuneration</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, employees were paid no less than local minimum wage, the company paid 150%, 200% and 300% of normal rate wages for overtime hours on normal working days, rest days and official public holidays respectively. Through labour contracts review, management interview and employees interview, employees were paid on hourly rate basis before 20th day after working period through Agricultural Bank of China. . However, based on satisfactory evidence, the main auditee did not respect this principle.</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 员工的工资不低于当地的最低工资, 受审核方在平日加班、休息日及法定假日加班分别支付正常工资的1.5倍、2倍、3倍。通过查看劳动合同、管理层访谈及员工访谈, 员工工资是计时的, 在次月20日前通过中国农业银行转账发放。此外, 公司按法规要求提供福利, 如病假、年假、产假及工伤假等。但是, 基于令人满意的证据, 主要受审核方没有完全尊重这个原则。</p> <p>5.4 - The company didn't participate social insurance for 100% employees. latest 3 months' social insurance receipts were provided for review. The number of people participating in social insurances was basically stable. Through reviewing the social insurance receipt of December 2018, it was noted that 96 employees had participated in retirement, unemployment, childbearing, medical and work-related injury insurances. In addition, the factory had purchased commercial life insurance from Ping'An Property &amp; Casualty Insurance Company for all employees, the contract period was one year from 13 April 2018. Reference law: Labor Law of the PRC; Article 72.</p> <p>公司没有为所有员工购买社保, 最近3个月的社保收据有提供审核, 参加社保人数基本平稳。从2018年12月的社保收审核得知, 96人参加了养老、失业、生育、医疗及工伤保险。另外, 工厂为所有员工购买了平安财产保险股份有限公司的团体意外险, 保单期限为一年, 从2018年4月13日生效。参考法律法规: 中华人民共和国劳动法第72条。</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: B	Deadline date:20/10/2018
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory set up wages and benefit paying system, which included paid statutory holidays, sick leave, annual leave, marriage leave and maternity leave etc. Based on the wages from Jul, 2017 to Jun 2018 provided by the factory, the minimum wage paid by the factory was RMB 10.80 per hour, which was met the legal requirement. Satisfactory evidence showed that the factory provided skill training to workers and workers' position allowance will be increased accordingly when workers received more training. No other deduction except social insurance deduction was identified according to wages records of workers. All these processes and evidences were cross checked by document review, workers interview and management interview. However, gaps of social insurance had been identified in implementation.</p> <p>工厂制定了工资支付政策和福利政策, 福利政策包括给员工提供法定节假日, 病假, 婚假, 产假等假期。根据工厂提供的从2017年7月至2018年6月的工资记录显示, 工厂给员工支付最低10.80每小时的工资。同时, 工厂给员工提供了相应的技能培训, 若员工的技能提升, 岗位津贴将相应提高。根据员工的工资记录, 员工仅有社保的扣款记录, 无其它的扣款。以上过程均用文件, 访谈等方式进行核实过。但也发现工厂在社保方面和BSCI要求有差距。</p> <p>5.4 - 1st follow up audit on July 20, 2018: Closed The factory had assessed decent standard of living before the audit.</p> <p>2018年7月20日第一次跟进审核结果: 关闭 被审核方(生产商)审核前已评估当地体面生活标准。</p> <p>5.5 - 1st follow up audit on July 20, 2018: Open Finding: The main auditee does not respect this principle because the factory only provided five social insurances for 81 out of total 280 workers. The factory provided commercial insurance for all workers.</p> <p>2018年7月20日第一次跟进审核结果: 打开 被审核方(生产商)未遵循该准则。工厂仅为280名员工中的81名员工提供了五项社会保险。工厂为所有员工提供了商业意外险。</p>	
<b>Remarks from Auditee</b>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: C	Deadline date:16/10/2017
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory set up wages and benefit paying system, which included paid statutory holidays, sick leave, annual leave, marriage leave and maternity leave etc. Based on the wages from Jul, 2016 to Jun 2017 provided by the factory, the minimum wage paid by the factory was RMB 10.34 per hour, which was met the legal requirement. Satisfactory evidence showed that the factory provided skill training to workers and workers' position allowance will be increased accordingly when workers received more training. No other deduction except social insurance deduction was identified according to wages records of workers. All these processes and evidences were cross checked by document review, workers interview and management interview. However, gaps of social insurance had been identified in implementation.</p> <p>工厂制定了工资支付政策和福利政策, 福利政策包括给员工提供法定节假日, 病假, 婚假, 产假等假期。根据工厂提供的从2016年7月至2017年6月的工资记录显示, 工厂给员工支付最低10.34每小时的工资。同时, 工厂给员工提供了相应的技能培训, 若员工的技能提升, 岗位津贴将相应提高。根据员工的工资记录, 员工仅有社保的扣款记录, 无其它的扣款。以上过程均用文件, 访谈等方式进行核实过。但也发现工厂在社保方面和BSCI要求有差距。</p>	

- 5.4 -** The main auditee does not respect this principle because the factory did not access decent standard of living before and during the audit.  
被审核方(生产商)未遵循该准则。原因是主要被审核方(生产商)因未评估当地体面生活标准而未遵守该原则。
- 5.5 -** The main auditee does not respect this principle because the factory only provided five social insurances for 68 out of total 280 workers. The factory provided commercial insurance for all workers.  
被审核方(生产商)未遵循该准则。工厂仅为280名员工中的68名员工提供了五项社会保险。工厂为所有员工提供了商业意外险。

Remarks from Auditee

<b>Performance Area 6 : Decent Working Hours</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: D	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and employees' interview and document review, the auditee has established working hours policy and procedure. Verified with worker interview, all workers worked on voluntary basis. According to the randomly selected 8 samples' records, the regular working hours were 8 hours per day and 40 hours per week; the maximum monthly overtime hours were 132 hours for production employees. The maximum continuous working days were 6 days. Through reviewing the management document and confirmed with the management and employees, worker in silica gel workshop worked 8:00am-8:00pm or 8:00pm to 8:00am with 0.5 hour for lunch or supper respectively. The overtime hours were 3 hours per day from Monday to Friday. However, based on satisfactory evidence, the main auditee did not respect this principle.</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有建立工时政策、程序。员工访谈确认, 员工加班是自愿的。根据随机抽取的8个样板记录显示, 正班工时为每天8小时, 每周40小时; 生产一线每月加班时间最多为132小时。最多连续工作6天。通过审核公司管理制度文件及同管理层员工确认, 硅胶车间员工两班制, 从8:00am到8:00pm或者8:00pm到8:00am, 其中分别包含午餐及晚餐各0.5小时。但是, 基于令人满意的证据, 主要受审核方没有完全尊重这个原则。</p>	
6.2 -	<p>The factory didn't have effective system to control its overtime work compliance. Selected three months working hour records of past 6 months to be reviewed, excessive overtime work observed. 8 out of 8 workers had overtime hours ranged 64-120 hours a month in December 2018, 8 out of 8 workers had overtime hours ranged 58-120 hours a month in November 2018, 8 out of 8 workers had overtime hours ranged 60-132 hours in August 2018. Reference law: China Labor Law, Article 41.</p> <p>公司没有有效的系统去控制加班, 从过往6个月中选三个月的工作时间查阅, 2018年12月抽样的8个员工中有8个员工月加班介于64至120小时, 2018年11月抽样的8个员工中有8个员工月加班介于58至120小时, 2018年8月抽样的8个员工中有8个员工月加班介于60至132小时。参考法律法规: 中华人民共和国劳动法第四十一条。</p>
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: D	Deadline date: 20/10/2018
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory made a policy of working hours system and controlled working hours. According to the policy and implementation records, all office staff &amp; packing workers' normal working time was: 07:30-11:30 at AM &amp; 13:30-17:30 at PM, 8 hours per day, 5 days per week and the other production workers' normal working time was: 08:00-20:00 at day shift &amp; 20:00-08:00 (next day) at night shift. The factory arranged production workers working on weekends sometimes and workers had right to choose overtime or not. Further more, workers had at least 8 hours' rest on every day. Workers can take a rest during the work time when they felt tired. All this processes and implementation can be verified by interview and documents review. However, gaps of overtime working hours had been identified in implementation.</p> <p>工厂制定了工时政策, 依照政策以及工厂实际的执行情况, 办公室以及包装工序的员工每天上班8小时, 早上7点30分至中午11点30分, 下午13点30分至下午17点30分上班, 每周5天; 其他生产一线的员工按照白班: 早上8点至晚上8点, 夜班: 晚上8点至次日早上8点的方式倒班。工厂会依据生产订单安排员工在周末加班, 员工可自愿选择是否加班。工厂保证了员工每天至少有8小时的休息时间并且员工在车间如果觉得疲惫, 可自由选择休息几分钟。以上均已从员工访谈以及文件信息等方面进行核实。不过, 工厂在加班时间上的管控也有不符合法规的地方。</p>	
6.2 -	<p>1st follow up audit on July 20, 2018: Open</p> <p>Finding: The main auditee does not respect this principle because:</p> <ol style="list-style-type: none"> <li>1. Based on attendance records from July 2017 to the audit day, about 70% workers' monthly overtime hours exceeded 36 hours, the maximum monthly overtime hours were 108h which happened in Oct 2017.</li> <li>2. Based on attendance records from July 2017 to the audit day, all making silica gel workers' normal working time was: 08:00-20:00 at day shift &amp; 20:00-08:00 (next day) at night shift. The daily overtime hours were 4h which exceeded legal requirement.</li> </ol> <p>Remark: The factory said workers had 2.5 hours for rest and meal, but no enough document to prove it.</p> <p>2018年7月20日第一次跟进审核结果: 打开</p> <p>被审核方(生产商)未遵循该准则, 原因是:</p> <ol style="list-style-type: none"> <li>1. 根据工厂提供的2017年7月份至审核当日的考勤, 约70%的员工月加班时间均超过36小时, 最大月加班为108小时发生在2017年10月。</li> <li>2. 根据工厂提供的考勤, 所有制胶工序工人实行三班两运转, 白班是上午八点到晚上八点, 夜班是晚上八点到第二天早上八点。日加班时间达到了4个小时超出法规要求。</li> </ol> <p>备注: 工厂说员工每班有2.5小时的休息和进餐时间, 但是没有足够证据证明这一点。</p>
<b>Remarks from Auditee</b>	



Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: D

Deadline date:16/10/2017

Good practices

Areas of improvement

The factory made a policy of working hours system and controlled working hours. According to the policy and implementation records, all office staff & packing workers' normal working time was: 07:30-11:30 at AM & 13:30-17:30 at PM, 8 hours per day, 5 days per week and the other production workers' normal working time was: 08:00-20:00 at day shift & 20:00-08:00 (next day) at night shift. The factory arranged production workers working on weekends sometimes and workers had right to choose overtime or not. Further more, workers had at least 8 hours' rest on every day. Workers can take a rest during the work time when they felt tired. All this processes and implementation can be verified by interview and documents review. However, gaps of overtime working hours had been identified in implementation.

工厂制定了工时政策, 依照政策以及工厂实际的执行情况, 办公室以及包装工序的员工每天上班8小时, 早上7点30分至中午11点30分, 下午13点30分至下午17点30分上班, 每周5天; 其他生产一线的员工按照白班: 早上8点至晚上8点, 夜班: 晚上8点至次日早上8点的方式倒班。工厂会依据生产订单安排员工在周末加班, 员工可自愿选择是否加班。工厂保证了员工每天至少有8小时的休息时间并且员工在工作间如果觉得疲惫, 可自由选择休息几分钟。以上均已从员工访谈以及文件信息等方面进行核实。不过, 工厂在加班时间上的管控也有不符合法规的地方。

- 6.2 -** The main auditee does not respect this principle because: 1. Based on attendance records from July 2016 to the audit day, about 70% workers' monthly overtime hours exceeded 36 hours, the maximum monthly overtime hours were 88 which happened in Oct 2016. 2. Based on attendance records from July 2016 to the audit day, all making silica gel workers' normal working time was: 08:00-20:00 at day shift & 20:00-08:00 (next day) at night shift. The daily overtime hours were 4 which exceeded legal requirement. Remark: The factory said workers had 2.5 hours for rest and meal, but no enough document to prove it.

被审核方(生产商)未遵循该准则, 原因是: 1. 根据工厂提供的2016年7月份至审核当日的考勤, 约70%的员工月加班时间均超过36小时, 最大月加班为88小时发生在2016年10月。2. 根据工厂提供的考勤, 所有制胶工序工人实行三班两运转, 白班是上午八点到晚上八点, 夜班是晚上八点到第二天早上八点。日加班时间达到了4个小时超出法规要求。备注: 工厂说员工每班有2.5小时的休息和进餐时间, 但是没有足够证据证明这一点。

Remarks from Auditee

<b>Performance Area 7 : Occupational Health and Safety</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, the main auditee had established policy on health and safety and implement it accordingly, such as one manager was appointed to in charge of health and safety issues, safety training would be provided for employees regularly. New finding raised, the factory didn't provide annual occupational health examination. This finding was put in 7.1. Findings 7.11 &amp; 7.17 were closed. The factory obtained fire service certificate from Tengzhou City Fire-preventing Bureau on 6 November 2018. The factory hired one crane operator to be responsible for crane operation. (Mr.Zhang, certificate No.:37048119800822531X, 4-year valid period from 16 June 2015.). The factory had installed guardrail for the work platform in making glue workshop. Based on satisfactory evidence, the main auditee did not respect this principle. (Remark: No transportation was available.)</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有建立健康安全政策并按要求执行, 如, 指定一名管理层负责健康安全事宜, 定期给员工提供安全培训。本次发现了新的不符合项, 工厂没有给员工提供年度职业病体检。该不符合项放到7.1。另外7.11及7.17问题点改善, 工厂从当地消防局获得了消防验收合格证书, 该证书签发于2018年11月6日。工厂雇佣了一名有资质的行车操作工。(张生, 证书号码:37048119800822531X, 4年有效期从2015年6月16日生效。)工厂在制胶车间的平台上加装了防护栏。基于令人满意的证据, 主要受审核方没有完全尊重这个原则。</p>	
7.1 - There were dust and noise emitted from the silica gel workshop, but the factory didn't provide annual occupational health examination for workers in 2018. Reference law: Law of the People's Republic of China on Prevention and Control of Occupational Diseases, Article 35 工厂硅胶车间有粉尘及噪音产生, 但工厂在2018年度没有为员工提供年度职业病体检。参考法律法规: 中华人民共和国职业病防治法第三十五条。	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<b>Good practices</b>	
<b>Areas of improvement</b>	
<b>Remarks from Auditee</b>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A	Deadline date: 20/10/2018
<b>Good practices</b>	
<b>Areas of improvement</b>	
<p>The committee of health and safety was set up by the factory and Mr. Zhang Xingqiang was responsible for the affairs of health and safety. Besides, the factory assessed the risk of workshop accordingly including fire safety, chemical safety and mechanical safety. For fire safety, the factory ensured enough fire extinguishers in every workshop and emergency lights and fire alarm were available in the factory. All these facilities of fire safety were checked by Mr. Zhang Xingqiang every month and were effective during the testing on-site. For mechanism safety, all processes of operation were set up, workers were well trained to operate it correctly. Meanwhile, the factory obtained MSDS of chemicals and set up secondary container for all chemicals. According to the interviewee statement, workers understood well of the risk of mechanism and knew to wear relate personal protective equipment. Of course, the PPEs and in-job occupational health examinations were provided by the factory accordingly. The factory also set up emergency procedure and trained three first aiders for providing the service of first aid. The first aid box was also available in every workshop. Clean potable water was also provided. However, gaps had been identified in implementation as follows.</p> <p>工厂创建了员工的健康安全委员会, 由张兴强负责整体的健康与安全, 而且工厂按照车间情况对工厂内部进行了健康安全风险评估, 包含消防安全, 化学品安全和机械安全等。在消防安全方面, 工厂给所有车间配备了消防设施, 例如灭火器, 消防警铃等, 并且工厂的健康安全负责人张兴强每月都会进行检查。审核时经过测试, 应急灯, 灭火器和消防警铃都是有效的。在机械安全方面, 工厂针对有机械安全风险的岗位都制定了相应的操作规程, 并且给员工提供了培训以防范这方面的风险。同时, 工厂保存了所有化学品的MSDS, 并且给所有化学品提供了二次容器。例如, 通过访谈筛选车间的员工, 员工很了解操作时注意的机械安全内容以及需要佩戴个人劳保用品。工厂也提供了相应的个人劳保用品和岗中职业健康体检给员工。在急救政策方面, 工厂制定了急救政策, 工厂给每个车间配备了药箱, 而且工厂内有三名急救员。同时, 工厂也提供了饮用水给员工, 员工可随时喝水, 且工厂定期清洗饮用水保证了饮用水的安全卫生。不过, 工厂在以下方面和BSCI要求尚有差距。</p>	
7.1 - 1st follow up audit on July 20, 2018: Open Finding: The main auditee partially respects this principle because the factory had established management system on health and safety, included the identify and awareness of related legal regulation, health and safety check, training and etc. But some health and safety issues were happened due to management negligence. 2018年7月20日第一次跟进审核结果: 打开 被审核方(生产商)部分遵循该准则。原因是工厂已建立健康安全管理体系, 包括相关法规的识别与了解, 健康安全培训等, 但是由于管理疏忽, 导致某些健康安全问题发生。	
7.3 - 1st follow up audit on July 20, 2018: Closed The factory had carried out complete risk assessment for safe, healthy and hygienic working conditions, and provided on-the-job occupational health examination and pre-job and off-the-job occupational health examination for all workers contacted hazardous factors. 2018年7月20日第一次跟进审核结果: 关闭 工厂有针对安全, 健康和卫生工作条件进行完善的风险评估, 也给所有接触有害工作环境的工人提供了在岗职业健康体检和上岗前职业健康体检给工人。	
7.11 - 1st follow up audit on July 20, 2018: Open Finding: The main auditee did not respect this principle because the factory did not provide Fire Safety Certificate for all used buildings built in year 2006. 2018年7月20日第一次跟进审核结果: 打开 被审核方(生产商)未遵循该准则。工厂没有提供建于2006年的所有建筑的消防验收报告。	
7.17 - 1st follow up audit on July 20, 2018: Open Finding: The main auditee does not respect this principle because: 1. The crane operator of the factory did not obtain crane operator permit. 2. No guardrail installed for the work platform in making glue workshop. 2018年7月20日第一次跟进审核结果: 打开 被审核方(生产商)未遵循该准则。原因是: 1. 工厂行车操作工未获得操作工资格证。2. 工厂制胶车间工作平台未安装防护栏。	
7.21 - 1st follow up audit on July 20, 2018: Closed The factory obtained the food business license for the kitchen on Jan 8, 2018. 2018年7月20日第一次跟进审核结果: 关闭 被审核方(生产商)在2018年1月8日获得了食堂的食品经营许可证。	
<b>Remarks from Auditee</b>	



Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: B

Deadline date:16/10/2017

Good practices

Areas of improvement

The committee of health and safety was set up by the factory and Mr. Zhang Xingqiang was responsible for the affairs of health and safety. Besides, the factory assessed the risk of workshop accordingly including fire safety, chemical safety and mechanical safety. For fire safety, the factory ensured enough fire extinguishers in every workshop and emergency lights and fire alarm were available in the factory. All these facilities of fire safety were checked by Mr. Zhang Xingqiang every month and were effective during the testing on-site. For mechanism safety, all processes of operation were set up, workers were well trained to operate it correctly. Meanwhile, the factory obtained MSDS of chemicals and set up secondary container for all chemicals. According to the interviewee statement, workers understood well of the risk of mechanism and knew to wear relate personal protective equipment. Of course, the PPEs and in-job occupational health examinations were provided by the factory accordingly. The factory also set up emergency procedure and trained three first aiders for providing the service of first aid. The first aid box was also available in every workshop. Clean potable water was also provided. However, gaps had been identified in implementation as follows.

工厂创建了员工的健康安全委员会, 由张兴强负责整体的健康与安全, 而且工厂按照车间情况对工厂内部进行了健康安全风险评估, 包含消防安全, 化学品安全和机械安全等。在消防安全方面, 工厂给所有车间配备了消防设施, 例如灭火器, 消防警铃等, 并且工厂的健康安全负责人张兴强每月都会进行检查。审核时经过测试, 应急灯, 灭火器和消防警铃都是有效的。在机械安全方面, 工厂针对有机械安全风险的岗位都制定了相应的操作规程, 并且给员工提供了培训以防范这方面的风险。同时, 工厂保存了所有化学品的MSDS, 并且给所有化学品提供了二次容器。例如, 通过访谈筛选车间的员工, 员工很了解操作时注意的机械安全内容以及需要佩戴个人劳保用品。工厂也提供了相应的个人劳保用品和岗中职业健康体检给员工。在急救政策方面, 工厂制定了急救政策, 工厂给每个车间配备了药箱, 而且工厂内有三名急救员。同时, 工厂也提供了饮用水给员工, 员工可随时喝水, 且工厂定期清洗饮用水保证了饮用水的安全卫生。不过, 工厂在以下方面和BSCI要求尚有差距。

- 7.1 - The main auditee partially respects this principle because the factory had established management system on health and safety, included the identify and awareness of related legal regulation, health and safety check, training and etc. But some health and safety issues were happened due to management negligence.  
被审核方(生产商)部分遵循该准则。原因是工厂已建立健康安全管理体系, 包括相关法规的识别与了解, 健康安全检查, 培训等, 但是由于管理疏忽, 导致某些健康安全问题发生。
- 7.3 - The main auditee partially respects this principle because the factory had carried out complete risk assessment for safe, healthy and hygienic working conditions, and provided on-the-job occupational health examination for all workers contacted hazardous factors, such as painting workers, but the factory did not provide pre-job and off-the-job occupational health examination for workers.  
被审核方(生产商)部分遵循该准则。原因是工厂有针对安全, 健康和卫生工作条件进行完善的风险评估, 也给所有接触有害工作环境的工人提供了在岗职业健康体检, 但是工厂未提供上岗前和离岗的职业健康体检给工人。
- 7.11 - The main auditee did not respects this principle because the factory did not provide Fire Safety Certificate for all used buildings built in year 2006.  
被审核方(生产商)未遵循该准则。工厂没有提供建于2006年的所有建筑的消防验收报告。
- 7.17 - The main auditee does not respect this principle because the factory did not provide management certificate of special equipments.  
被审核方(生产商)因未提供特种设备管理人员证书未遵守原则。
- 7.21 - The main auditee does not respect this principle because the factory didn't obtain the hygiene license for the kitchen. Remark: The factory said the kitchen was managed by Tengzhou Xinxu Chemical Materials Co., Ltd, but the audit factory's workers had meal in the kitchen.  
被审核方(生产商)因未获得食堂的食品经营许可证而未遵守原则。备注: 工厂说食堂属于滕州市辛绪化工原料有限公司管理, 但是被审核工厂的员工在食堂用餐。

Remarks from Auditee

<b>Performance Area 8 : No Child Labour</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>During this audit, through documents review (reviewing personnel file, identification card and roster, etc), workers interview and management interview, there was no child labor and young worker identified. The youngest worker hired by the auditee was 24 years old. Based on satisfactory evidence, the main auditee respected this principle.</p> <p>在本次审核中, 通过文件审核(如人事档案、身份证、员工花名册等)、员工访谈及管理层访谈, 没有发现童工及未成年工。最小员工的年龄是24岁。基于令人满意的证据, 主要受审核方尊重这个原则。</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The policy of recruiting was set up by the factory. And it regulated that the factory would not recruit workers under 16. The factory checked workers' ID during recruiting. Meanwhile, the factory established remediation measure of child labor in order to set up measure of recruiting child labor incidentally. After checking all personnel files of workers, no child labor was identified in the factory.</p> <p>工厂制定了合适的招聘政策, 员工入职时工厂均会查看员工的身份证。同时工厂制定了童工补救措施以防万一发现童工的应对措施。在审核过程中, 通过查阅所有员工的人事资料, 未发现有任何童工存在。</p>	
<u>Remarks from Auditee</u>	

<b>Performance Area 9 : Special protection for young workers</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>The overall observations showed that the auditee respected the requirement of this performance area. The auditee has a Protection for Young Workers policy. Managers have a good understanding of the protection for young worker in law requirement and conduct risk assessment about young person. All workers were over the age of 18 years old during the audit. (Remark: No young worker was available.)                      整体现场的情况显示工厂遵循该绩效区域。工厂建立了未成年工的保护政策。管理层对于法律所规定的未成年工保护有良好的了解并针对工作岗位进行了未成年工的风险评估。工厂所有工人均超过18周岁。(备注:工厂没有未成年工。)</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The policy of young worker protection was made by the factory. The factory understood the legal requirement of young workers according to interview with management and the risk assessment procedure of young workers was set up by the auditee according to the requirement of BSCI. During the audit, no young workers were identified in the factory.                      工厂制定了未成年工的保护政策, 工厂了解如何依照法规要求保护未成年工, 而且工厂也按照BSCI要求来更新其未成年工的风险评估。在审核过程中, 未发现有未成年工的存在。</p>	
<u>Remarks from Auditee</u>	

<b>Performance Area 10 : No Precarious Employment</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, the auditee had established procedure regarding Hiring Procedure and implemented it accordingly. The auditee signed labor contract with each employees within one month after hiring and employees obtained one contract. However, based on satisfactory evidence, the main auditee didn't respect this principle.</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有建立雇佣程序, 并按要求执行。受审核方在员工入职一个月内与每位员工签订劳动合同, 同时会给一份给员工。然而, 基于令人满意的证据, 主要受审核方没有尊重这个原则。</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>Labor contracts were all concluded between the factory and workers. The contracts statement included the description of working hours, training, rest time and leave etc. which were in accordance with legal requirement and ILO. Meanwhile, the factory provide a copy of contract to every worker. Based on interview statement of workers, workers understood well of the content of labor contract and no illegal employment was identified during the audit.</p> <p>工厂和每个员工均签订了劳动合同, 劳动合同的内容包括工时, 培训, 休息时间和假期, 报酬和支付条件, 这些内容均符合法规以及国际标准。同时工厂提供了一份劳动合同副本给员工。通过员工访谈, 员工均了解劳动合同内容, 审核过程中, 工厂无不合法规的用工形式存在。</p>	
<u>Remarks from Auditee</u>	

<b>Performance Area 11 : No Bonded Labour</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, the auditee had established procedure regarding on prohibition bonded labor and implemented it accordingly. No deposit or ID card was withheld by the auditee. No illegal disciplinary measure was noted in this audit. No bonded labor was found during this audit. Based on satisfactory evidence, the main auditee respected this principle.</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有建立强迫劳动程序, 并按要求执行。受审核方没有收押金或扣押证件。没有发现违法的纪律处罚。本次审核, 未发现强迫劳动。基于令人满意的证据, 主要受审核方尊重这个原则。</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory established the policy on anti-forced labor. The management Mr. Li Fuqiang understood well the scope of forced labor. And according to onsite observation and interview statement of workers, workers confirmed that there were no evidence showed in the factory, for example, they could resign according to legal requirement and they could leave the factory freely without being searched. No inhumane or degrading treatment was found during the audit and according to interview with workers. The discipline policy was also in line with legal requirement.</p> <p>工厂制定了反强迫劳动的政策, 工厂负责人李夫强理解哪些方式是属于强迫劳动的范畴。依据现场观察和员工访谈, 员工也很清晰地表明工厂内无强迫劳动的现象, 例如员工可以依照法规要求提出辞工而不会被克扣工资, 并且可以自由离开工厂。员工也未遇到任何被侮辱或非人道的待遇。工厂的惩戒政策也是符合法律法规要求。</p>	
<u>Remarks from Auditee</u>	

<b>Performance Area 12 : Protection of the Environment</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, the auditee had established the procedure to ensure its business model in line with local environmental law. Based on satisfactory evidence, the main auditee didn't respect this principle. 根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有建立程序来确保其生产活动符合当地环境法规。基于令人满意的证据, 主要受审核方尊重这个原则。</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>Environmental Impact Assessment report and EIA approval had been provided by the factory, which also stated the assessment of water resource nearby the factory. The land belonged to the factory was industrial land and water used by the factory was come from municipal water. The main wastes produced by the factory were noise, waste gas and waste water. The factory obtained the sewage discharge permission, waste gas and waste water were monitored by on-line monitoring system. 工厂提供了环评报告及环评批复, 环评报告显示工厂已针对附近水资源进行了评估。工厂主要使用当地市政提供的自来水, 并且工厂用地属于工业用地。工厂的主要污染物为噪声、废气和废水。工厂取得了排污许可证, 废水和废气均实行在线系统监测。</p>	
<u>Remarks from Auditee</u>	

<b>Performance Area 13 : Ethical Business Behaviour</b>	
3- Followup Audit [Audit Id - 142495] Audit Date: 18/01/2019 PA Score: A	Deadline date:
<b>GOOD PRACTICES:</b>	
<b>AREAS OF IMPROVEMENT:</b>	
<p>Based on site observation, management and workers' interview and document review, the auditee had established Anti-bribery And anti-corruption Procedure, and they had given training to employees for this issue. The factory had established personal information confidential mechanism to prevent any disclosing. Based on satisfactory evidence, the main auditee respected this principle.</p> <p>根据现场观察, 管理层及员工访谈, 文件审核, 受审核方有建立反贿赂及反腐败的程序, 并给员工提供相关的培训。工厂有建立个人信息保密程来保护员工隐私。基于令人满意的证据, 主要受审核方尊重这个原则。</p>	
<b>Remarks from Auditee:</b>	
2- Followup Audit [Audit Id - 140662] Audit Date: 19/12/2018 PA Score: E	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
1- Followup Audit [Audit Id - 129482] Audit Date: 20/07/2018 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<u>Remarks from Auditee</u>	
Full Audit [Audit Id - 106368] Audit Date: 14/08/2017 PA Score: A	Deadline date:
<u>Good practices</u>	
<u>Areas of improvement</u>	
<p>The factory established Anti-bribery and anti-corruption Procedure, and provided training to employees for the policy. In addition, the auditee had informed their suppliers of this requirement and all the suppliers had signed statements of complying with this policy. During the audit, no misrepresentation was provided by the factory, all information could be cross checked.</p> <p>企业已建立反贿赂、反腐败程序, 并向员工提供了相关培训。此外, 企业已与其供应商沟通此要求, 供应商已签署廉政声明以符合该要求。审核过程中, 工厂提供的数据也均可通过其它方面进行核实, 工厂未提供任何不实信息。</p>	
<u>Remarks from Auditee</u>	

**Summary**



Audit Type	Date	Audit Id	PA1	PA2	PA3	PA4	PA5	PA6	PA7	PA8	PA9	PA10	PA11	PA12	PA13	Overall Rating
Follow-up Audit	18/01/2019	142495	D	B	A	A	A	D	A	A	A	A	A	A	A	C
Follow-up Audit	19/12/2018	140662	E	E	E	E	E	E	E	E	E	E	E	E	E	E
Follow-up Audit	20/07/2018	129482	D	C	A	A	B	D	A	A	A	A	A	A	A	C
Full Audit	14/08/2017	106368	D	C	A	A	C	D	B	A	A	A	A	A	A	C



Producer Photos



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



Photo of fire safety equipment  
Evacuation Planning.JPG



Photo of the inside of the main production hall  
Finished Product Warehouse.JPG



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



Photo of fire safety equipment  
On-site Fire Hydrant Test.JPG



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



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



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



Photo of chemical storage room (if applicable)  
Hazardous factors notification.JPG



External photo(s) of the production unit(s)  
Dormitory Building.JPG



Photo of the inside of the main production hall  
Semi-product Warehouse.JPG



Photo of the sanitary facilities  
Drinking Water.JPG



Photo of the code of conduct on display  
BSCI Code of Conduct on display.JPG



Photo of the inside of the main production hall  
Washing Process.JPG

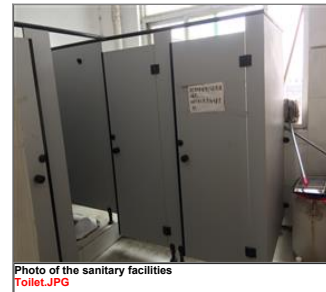


Photo of the sanitary facilities  
Toilet.JPG

