
Auditee :	Zhuhai Sunlu Industrial Co., Ltd.
Audit Date From :	05/05/2017
Audit Date To :	05/05/2017
Expiry Date of the Audit :	Please refer to the producer profile in the BSCI platform
Auditing Company :	TUEV Rheinland
Auditor's Name(s) :	Beal Lu(Lead)
Auditing Branch (if applicable) :	TUV Rheinland China



BSCI Audit Summary Report

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



Rating	A combination of ratings per performance area where:	Consequence																																													
<p>A OUTSTANDING</p>	<p>o Minimum 7 performance area rated A o No Performance area rated C, D or E</p> <p><i>These are three examples:</i></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><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>A</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>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> </table>	A	A	A	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	B	A	A	A	A	A	A	A	A	B	B	B	B	B	B	B	<p>The auditee has the level of maturity to maintain its improvement process without needing follow-up audit.</p>
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<p>B GOOD</p>	<p>o Maximum 3 performance area rated C o No performance area rated D or E</p> <p><i>These are three examples:</i></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><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>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></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>B</td><td>C</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	B	B	A	A	A	A	A	A	B	B	B	B	B	B	B	B	C	B	B	B	B	B	B	B	B	B	B	B	C	C	C	C	<p>The auditee has the level of maturity to maintain its improvement process without needing follow-up audit.</p>
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<p>C ACCEPTABLE</p>	<p>o Maximum 2 performance areas rated D o No performance area rated E</p> <p><i>These are three examples:</i></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>C</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>C</td><td>D</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>C</td><td>C</td><td>D</td><td>D</td></tr> </table>	A	A	A	A	A	A	A	A	A	A	C	C	C	C	C	A	A	A	A	A	B	B	B	B	C	C	C	C	D	D	C	C	C	C	C	C	C	C	C	C	C	C	C	D	D	<p>The auditee needs follow up on its progress. The auditee develops a remediation plan within 60 days following the completion of the audit.</p>
A	A	A	A	A	A	A	A	A	A	C	C	C	C	C																																	
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<p>D INSUFFICIENT</p>	<p>o Maximum 6 performance area rated E</p> <p><i>These are three examples:</i></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>D</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>D</td><td>E</td><td>E</td></tr> <tr><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> </table>	A	A	A	A	A	A	A	A	A	A	A	D	D	D	D	A	A	A	B	B	B	C	C	C	D	D	D	D	E	E	D	D	D	D	D	D	D	D	E	E	E	E	E	E	E	<p>The auditee needs follow up on its progress. The auditee develops a remediation plan within 60 days following the completion of the audit.</p>
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<p>E UNACCEPTABLE</p>	<p>o Minimum 7 performance areas rated E</p> <p><i>These are three examples:</i></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><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><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><td>E</td><td>E</td></tr> </table>	A	A	A	A	A	A	E	E	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	E	E	E	E	<p>BSCI participants shall closely oversee the auditee's progress as it may represent a higher risk than other business partners</p>
A	A	A	A	A	A	E	E	E	E	E	E	E	E	E																																	
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<p>Zero Tolerance</p>	<p>A Zero Tolerance issue was identified (see Annex 5)</p>	<p>Immediate actions are required. The BSCI Zero Tolerance Protocol is to be followed.</p>																																													

Main Auditee Information



Name of producer :	Zhuhai Sunlu Industrial Co., Ltd.		
DBID number :	367025		
Audit ID :	79281		
Address :	Sunlu Industrial Park, No.38 Yongtian Road, Trade Logistics Center Phase Two, Qianshan, Xiangzhou District Zhuhai		
Province :	Guangdong	Country :	China
Management Representative :	Ms. Huang Xiaohong		
Contact person:	Dandan Cheng	Sector :	Non-Food
Industry Type :	Mechanical and electrical engineering	Product group :	Electrical supplies
Product Type :	3D pen, 3D printer filament, 3D pen filament		

Audit Details



Audit Range :	<input checked="" type="checkbox"/> Full Audit	<input type="checkbox"/> Follow-up Audit
Audit Scope :	<input checked="" type="checkbox"/> Main Auditee	<input type="checkbox"/> Main Auditee & Farms
Audit Environment :	<input checked="" type="checkbox"/> Industrial	<input type="checkbox"/> Agricultural
Audit Announcement :	<input checked="" type="checkbox"/> Fully-Announced	<input type="checkbox"/> Fully-Unannounced <input type="checkbox"/> Semi-Announced
Random Unannounced Check (RUC) :	No	
Audit extent (if applicable) :	none	
Audit interferences or contingencies (if applicable) :	none	
Overall rating :	C	
Need of follow-up :	Yes	If YES, by : 05/05/2018

Rating per Performance Area (PA)												
PA 1	PA 2	PA 3	PA 4	PA 5	PA 6	PA 7	PA 8	PA 9	PA 10	PA 11	PA 12	PA 13
D	B	A	A	C	D	A	A	A	A	A	A	A

Executive summary of audit report

Zhuhai Sunlu Industrial Co., Ltd. was established in July 10, 2013, which specialized in manufacturing of 3D pen, 3D printer filament, 3D pen filament, and located at Sunlu Industrial Park, No.38 Yongtian Road, Trade Logistics Center Phase Two, Qianshan, Xiangzhou District, Zhuhai, Guangdong, China. There were 2 buildings in the boundary during the audit. The auditee rented 2F-5F of one 6-storey building (which was a "T" type building) as office, warehouse and production (2F as office, 3F as warehouse, 4F-5F as production), and 6F of one 6-storey dormitory building as workers' dormitory from Jinheng Technology (Zhuhai) Co., Ltd. 3 security guards and 2 kitchen workers were owned by the landlord.

The main production processes were assembly, filament workshop, inspection and packing.

Remark:

A, About the layout of the 6-storey production building as follows: 1F was used by a factory named Zhuhai Xiehe Technology Co., Ltd., which was a Electronic products processing. 6F was vacant floor during the audit. No share workers, and each was marked with factory board. The 1F-6F of the part "—" of "T" was also vacancy during the audit.

B, About the factory's address, the factory's address on business licence was "NO.A13.4/F, VICE-BUILDING, PRIVATE, ENTERPRISE SCIENCE & TECHNOLOGY PARK, NO.10TH KEJI ONE ROAD, TANGJIA WAN TOWN, ZHUHAI, GUANGDONG, CHINA", but the factory actual address was "Sunlu Industrial Park, No.38 Yongtian Road, Trade Logistics Center Phase Two, Qianshan, Xiangzhou District, Zhuhai, Guangdong, China". The factory did not update address registration since they moved to current place in February 2017. No production activity in previous address.

C, About the handwriting findings on Signed Findings Report of PA7.2, through the social insurance payments provided by the factory, there were 45 workers in April 2017 in the factory, 21 out of 45 workers were provided with the industrial injure insurance in April 2017. The auditor had confirmed with the factory's management and added the finding by handwriting on Findings Report.

Ratings Summary



Auditee's background information			
Auditee's name :	Zhuhai Sunlu Industrial Co., Ltd.	Legal status :	Limited company
Local Name :	珠海市三绿实业有限公司 (91440400073482258L)	Year in which the auditee was founded :	2013
Address :	Sunlu Industrial Park, No.38 Yongtian Road, Trade Logistics Center Phase Two, Qianshan, Xiangzhou District	Contact person (please select) :	Dandan Cheng
Province :	Guangdong	Contact's Email :	Sales1@sunlugw.com
City :	Zhuhai	Auditee's official language(s) for written communications :	Chinese
Region :	North East Asia	Other relevant languages for the auditee :	N/A
Country :	China	Website of auditee (if applicable) :	http://www.sunlugw.com/
GPS coordinates :	N22°17'48.25" E113°30'2.40"	Total turnover (in Euros) :	6700000.00
Sector :	Non-Food	Of which exports % :	90.00
Industry :	Mechanical and electrical engineering	Of which domestic market % :	10.00
If other, please specify :		Production volume :	3D pen 25000 pcs/Month, 3D printer filament 20000 kg/Month, 3D pen filament 5000 bags/Month
Product Group :	Electrical supplies	Production cost calculation :	Yes
If other, please specify :		Lost time injury calculation cost :	Yes
Product Type :	3D pen, 3D printer filament, 3D pen filament		

Auditee's employment structure at the time of the audit			
Total number of workers :	45	Total number of workers in the production unit to be monitored (if applicable) :	0
	MALE WORKERS	FEMALE WORKERS	
Permanent workers	25	20	
Temporary workers	0	0	
In management positions	3	4	
Apprentices	0	0	
On probation	4	3	
With disabilities	0	0	
Migrants (national citizens)	20	16	
Migrants (foreign citizens)	0	0	
Workers on the permanent payroll	22	18	
Production based workers	0	0	
With shifts at night	1	0	
Unionised	0	0	
Pregnant	-	0	
On maternity leave	-	0	

Finding Report



Performance Area 1 : Social Management System and Cascade Effect

Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: D

Deadline date:04/08/2017

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

Ms. Huang Xiaohong/Admin supervisor was appointed as Management Representative responsible for ensuring that the BSCI values and principles are followed in a satisfactory manner. Through management interview that Ms. Huang Xiaohong/Admin supervisor was known the requirement of BSCI, and the factory will keep moving on BSCI program. The factory has established the supplier' management procedure to monitor their CSR performance. The factory had monitored the social responsibility performance of its suppliers and service provider, and had explained and passed BSCI CoC and Tol for Business Partners to its significant business partners.

工厂方面任命黄晓红女士/行政主管作为管理者代表确保BSCI有关的价值以及原则有效的执行。通过管理访谈,黄晓红女士/行政主管明白BSCI的要求,并表示工厂会在BSCI项目上进行持续改善。工厂已经建立相应的管理程序去监管供应商的社会责任绩效。工厂已针对其供应商和服务提供商的社会责任表现进行监督,且已将BSCI行为准则和商业伙伴专用实施条款讲解并传递给其重要的商业合作伙伴。

1.1 - It was noted that the factory had conducted the internal audit on August 11, 2016, But the factory did not identify the gaps between their operation and the BSCI COC (version 2014) or legal requirement, such as the factory did not identified the Findings on PA5 and PA6 of this full audit in the internal audit.

工厂在2016年8月11号进行了内审。但是工厂在该次内审中未识别出工厂实际运作与BSCI行为准则和法规要求的差距,比如内审中未识别出本次审核PA5和PA6的问题点。

1.4 - It was that the factory had established program of capacity planning, but did not conduct an effective production capacity calculation led to workers have overtime work exceeded 36 hours from April 2016 to audit date.

工厂有建立产能规划程序,但没有有效地进行产能评估,以致于工人从2016年4月至审核当天,每月都有加班工作超过36小时。

Remarks from Auditee:

Performance Area 2 : Workers Involvement and Protection

Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: B

Deadline date:04/08/2017

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The factory had set up workers representative management procedure. Management and workers meet on a regular basis to discuss about how to improve working conditions. Ms. Liu Yanyu and Mr. Liu Guosheng were elected by workers on October 14, 2016. The recent communication between workers and management was held on April 14, 2017. The records on the election process are kept and made available, and the minutes of these meetings are taken, kept and remain available for workers to consult. The factory also established grievance mechanism. The factory provided trainings on BSCI.

工厂建立了员工代表管理程序。管理层和员工定期举行会面,以商讨如何改善工作条件。刘燕玉和刘国胜在2016年10月14日被工人选举为员工代表。员工和管理层之间最近的一次沟通在2017年4月14举行。员工代表选举记录和双方的沟通会议记录都有存档,员工可以查询。工厂也建立了投诉机制。工厂向员工提供了BSCI的培训。

2.2 - It was noted that the factory 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.

工厂未根据BSCI价值观和原则以及其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

Remarks from Auditee:

Performance Area 3 : The rights of Freedom of Association and Collective Bargaining

Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A

Deadline date:

GOOD PRACTICES:

AREAS OF IMPROVEMENT:

The factory respects the right of workers to form unions in a free and democratic way and right to bargain collectively. And the factory does not prevent workers representatives from accessing or interacting with workers in the workplace.

工厂尊重工人以自由和民主的方式组建联盟的权利以及集体谈判权利。工厂未阻碍工人代表在工作场所(车间)与工人接触和互动。

Remarks from Auditee:

Performance Area 4 : No Discrimination	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory had set up No Discrimination policy and procedure. The factory provided regular trainings to management, including supervisors, on the content and procedure for disciplinary measures. The factory takes the necessary measures to avoid or eradicate discrimination in the workplace, such as provide employment contracts, no illegal deductions from wages, no use or threats of violence etc. Through workers interview that workers were not disciplined, dismissed or discriminated against because of their complaints against infringements of their rights.</p> <p>工厂有建立不歧视政策和程序。工厂会向管理层, 包括主管提供关于歧视政策程序的措施和内容的培训。工厂采取合适的措施以避免或消除工作场所(车间)中的歧视情况。比如给员工提供劳动合同, 没有非法扣工资, 没有使用暴力或暴力威胁等等。通过员工访谈, 工人不会因其对侵犯他们权利的投诉而受到惩戒、罢免或歧视。</p>	
Remarks from Auditee:	
Performance Area 5 : Fair Remuneration	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: C	Deadline date:04/08/2017
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory had established wages and benefit management procedure. Workers were paid the minimum wages for regular working hours, legal required overtime premium for workers' overtime working. The payroll of April 2016 to March 2017 were provided by the factory and 6 sampled workers payment were reviewed. Through these samples reviewing, wages were calculated by hourly rate for production worker, management staff and supporting staff. It was noted that the minimum wage of the sample workers was RMB 9.48 / hour, which were not less than the local minimum wage RMB 1650 / month or RMB 9.48 / hour since May 1st, 2015. Workers' wages were paid before at 30th of each month for previous month. Pay slips were provided to workers on the date of wages issue date. No any deduction from wages was found in the factory except individual part of social insurance.</p> <p>工厂已经建立了工资管理程序。员工工资发放达到最低工资的要求, 达到法定加班等的要求; 工厂提供了2016年4月到2017年3月这期间的工资记录, 并且抽取其中6个员工作为样本。从抽样表明, 对于生产工人工资, 管理人员和服务人员工资采用计时方式, 员工的最低工资是每小时RMB9.48, 不少于当地的从2015年5月1日开始的最低工资每月RMB1650或者每小时RMB9.48; 每月30日前或者当天支付上月的工资。发工资当日, 工资条提供给工人。除了个人需要缴纳的社保外, 没有任何扣款被发现。</p>	
5.4 -	<p>It was noted that the factory did not know about fair remuneration collection and calculation, and did not calculate the workers living wage to identify possible gaps existing between the actual remuneration and the fair remuneration figure.</p> <p>工厂不了解公平需求工资收集和计算, 也未进行生活需求工资以去识别工厂实际支付的工资和公平需求工资之间的差距。</p>
5.5 -	<p>It was noted through the social insurance payment receipt provided by factory management and management interview that, there were 45 employees in the factory in April 2017, 21 out of 45 employees were provided with maternity insurance, pension insurance, unemployment insurance, medical insurance and industrial injure insurance in April 2017. The factory did not provide any other insurance to other workers. Refer to PRC Labor Law, Article 72.</p> <p>通过工厂提供的社保缴纳凭证及管理访谈, 工厂2017年4月份有45名员工, 其中有21名员工参与了生育保险, 养老保险, 失业保险, 医疗保险和工伤保险。工厂未向其他员工提供任何保险。(参考:《中华人民共和国劳动法》第72条)。</p>
Remarks from Auditee:	
Performance Area 6 : Decent Working Hours	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: D	Deadline date:04/08/2017
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory had established Working Hour Management Procedure. The normal working hour is 8 hours per day, 40 hours per week, the overtime is 3 hours per day, 36 hours per month from Monday to Friday. The factory used electronic attendance system to register workers' attendance status. Workers' working time was: 08:30-12:00, 13:00-17:30. 3 security guards provided by the landlord, three shift: 8:00-16:00, 16:00-24:00, 24:00-8:00. Normal working days are from Monday to Friday. Overtime work was voluntarily chosen for workers. Workers have the right to at least one day off in every seven days.</p> <p>工厂制定了工作时间管理程序。正常工作时间是每天8小时, 每周40小时, 加班时间规定每天不超过3小时, 每月不超过36小时。工厂使用电子系统记录员工的考勤。员工的工作时间为: 08:30-12:00, 13:00-17:30。房东提供3名保安, 工作时间为三班: 8:00-16:00, 16:00-24:00, 24:00-8:00。正常工作天为周一至周五。加班时自愿的。工人有至少每七天休息一天的权利。</p>	
6.2 -	<p>Based on attendance records assessment from April 2016 to audit day, 6 out of 6 sampled workers' monthly overtime exceeded 36 hours in March 2017 and the maximum were 86 hours. 6 out of 6 sampled workers' monthly overtime exceeded 36 hours in December 2016 and the maximum were 84 hours. 6 out of 6 sampled workers' monthly overtime exceeded 36 hours in July 2016 and the maximum were 92 hours. The factory recording system did not have the capacity to flag excessive working hours. Reference law: PRC Labor Act Article 41 hours. Remark: 6 out of 6 sampled workers' monthly overtime were not exceeded 36 hours in May 2017, the max were 6 hours during the audit.</p> <p>基于考勤记录2016年4月至审核日的评估, 抽样6名工人2017年3月份的月加班都超过36小时, 最大的月加班时间为86小时。抽样6名工人2016年12月份的月加班都超过36小时, 最大的月加班时间为84小时。抽样6名工人2016年7月份的月加班都超过36小时, 最大的月加班时间为92小时。工厂考勤系统没有预警加班超时的功能。参考法规:《中华人民共和国劳动法》第41条。备注:抽样的6名员工2017年5月的加班都未超36小时, 审核期间最大为6小时。</p>
Remarks from Auditee:	

Performance Area 7 : Occupational Health and Safety	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A	Deadline date:04/08/2017
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory has established an effective system regarding health and safety. The factory appointed Mr. Jiang Lun/Product supervisor to be responsible for the health and safety affairs. Employees have the right to remove themselves from imminent danger without seeking permission from the company. The factory regularly provides OHS trainings to ensure workers understand the rules of work, personal protection and measures for preventing and reacting to accidents. All necessary fire equipment such as fire extinguishers, fire alarms and fire hoses were installed in the workshops. These facilities were checked monthly. First aid boxes were placed in the workshops. The factory provided clean potable water for all employees. As no transportation was provided to employees and the employees went home by themselves, the factory did not provide canteen and dormitory for workers. therefore, 7.23 was rated as N/A.</p> <p>工厂建立了有效的员工健康和安全体系。工厂任命一位高级管理人员蒋伦先生/生产主管负责健康和安全事务。工厂进行了职业健康安全风险评估, 包括未成年工和怀孕女工风险评估。员工有权利在遇到使自己远离即时发生的危及自身安全的严重危险, 而不需要公司的事前准许。工厂定期提供职业健康与安全培训, 以确保工人理解工作规则、个人防护、防止意外及如何应对意外的措施。所有必须的消防设施, 如灭火器、消防栓及消防警铃都安装在各车间, 消防设施每月检查一次。车间配置了急救药箱。工厂提供了清洁的饮用水给所有员工。因工厂未提供交通给员工, 员工下班后自行回家, 因此7.23评为N/A。</p>	
7.1 -	It was noted that the process of mixing had hazardous occupational factors of dust emitted, but the factory didn't monitor its indoor air quality in its Occupational Hazards Test Report. Reference law: Provisions on the Supervision and Administration of Occupational Health at Work Sites, Article 20 工厂混料工序有粉尘产生, 但工厂未监测其室内空气质量。参考法律法规:《工作场所职业卫生监督管理规定》第20条
7.2 -	It was noted through the social insurance payment receipt provided by factory management and management interview that, there were 45 employees in the factory in April 2017, 21 out of 45 employees were provided with industrial injure insurance in April 2017. The factory did not provide any other insurance to other workers. Refer to PRC Labor Law, Article 72. 通过工厂提供的社保缴纳凭证及管理访谈, 工厂2017年4月份有45名员工, 其中有21名员工参与了工伤保险。工厂未向其他员工提供任何保险。(参考:《中华人民共和国劳动法》第72条)。
7.6 -	It was noted that the PPE used sign, such as "Must wear earplug" was not post in Filament workshop. Reference Law: Code of Occupational Hazard Notification and Warning Sign Management for Employer, Article 13. 工厂未在耗材车间张贴PPE使用标志, 比如“需佩戴耳塞”。参考法律法规《用人单位职业病危害告知与警示标识管理规范》第13条
7.13 -	It was noted that 1 sampled electricity box in assembly workshop was missing the inner cover. Reference law: Safety Code of Electric Power Industry-Part 1:Thermal and Machine, 3.5.5 装配车间1个抽样的电箱内盖丢失。相关法律法规:《电业安全工作规程》3.5.5
7.17 -	It was noted 2 out of 3 filament product machine's engine part were missing belt cover. Reference Law: General rules of design on health and safety of production facility (GB5083-1999) article 6.1.2. 3台耗材生产机器发动机部分中有2个皮带轮防护罩丢失。相关法律法规:《生产设备安全卫生设计总则》(GB5083-1999)第6.1.2条
Remarks from Auditee:	
Performance Area 8 : No Child Labour	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory established child labor prohibition policy to prohibit using children labor below 16 years old and there was specific guideline for facility to avoid hiring workers below 16 years old. No child labor was found in the factory, the youngest worker was 20 years old, the worker was born on July 3, 1997 and working in the factory from July 6, 2016 工厂建立了禁止使用童工政策和特别的指南。没有发现童工。最小员年龄20岁, 出生于1997年7月3日, 2016年7月6日加入公司</p>	
Remarks from Auditee:	
Performance Area 9 : Special protection for young workers	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory established formal juvenile worker protection policy indicated that juveniles should be provided with the physical check in compliance with the legal requirement, and also should not be arranged overtime work or night work. Through factory tour, there was no juvenile worker looking face noted. No young worker was hired currently, therefore, 9.6 were rated as N/A. 工厂建立了有效的程序以确保未成年工将按法规要求进行体检, 并不会从事夜班以及在有毒有害岗位工作, 加班或者夜班工作。通过工厂走访, 工厂没有面似未成年工的员工。目前没有一个青年工人被雇用, 因此9.6被评为N/A。</p>	
Remarks from Auditee:	

Performance Area 10 : No Precarious Employment	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory established recruitment procedure. The recruitment principles are including but not limited: recruitment process, remuneration, hours of work, disciplinary measure, promotion, training, termination of employment etc. No dispatched workers, seasonal workers, migrant workers, summer job workers, apprentice workers and temporary workers hired by auditee. All the employees are permanent workers and the labor contracts were provided for review.</p> <p>工厂建立招聘程序, 招聘程序包括但不限于: 招聘流程、报酬、工作时间、纪律措施、晋升、培训、离职等。被审核方没有雇佣派遣工、季节工、外劳、暑期工以及临时工, 所有的雇员都是长期的合同工。</p>	
Remarks from Auditee:	
Performance Area 11 : No Bonded Labour	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A	Deadline date:
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory has established procedure not to engage in or support the use of forced or compulsory labor. The factory established all applicable disciplinary procedures in writing and the disciplinary training was provided for all employees. The factory did not engage in any form of servitude, forced, bonded, indentured, trafficked or non-voluntary labour</p> <p>工厂建立程序确保企业不会涉及和支持使用强迫劳动, 工厂建立了书面的惩戒程序文件并提供相应的培训。工厂没有参与任何形式的奴役、强迫、抵债、契约、贩卖或非自愿劳动</p>	
Remarks from Auditee:	
Performance Area 12 : Protection of the Environment	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A	Deadline date:04/08/2017
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory has established the policy and procedure of environment protection, such as water saving procedure. The facility had obtained environment impact examination, approval reports and the approval document of environment impact assessment as required by law. The factory conducted the monitoring of waste water, air emission and noise, and the result is not over the legal limited.</p> <p>工厂已经建立了环境保护的政策和程序, 比如节约用水程序。工厂获得了环评报告、批复和环境竣工验收文件。工厂定期进行环境监测, 监测结果显示没有超标。</p> <p>12.1 - It was noted that the factory could not provide the EIA and EIA approval for construction project for review. Refer to PRC Environmental Impact Assessment Law Article 16 and 22.</p> <p>工厂未能提供环境影响登记表和环境影响审查批复查看。参考《中华人民共和国环境影响评价法》第16和22条。</p>	
Remarks from Auditee:	
Performance Area 13 : Ethical Business Behaviour	
Full Audit [Audit Id - 79281] Audit Date: 05/05/2017 PA Score: A	Deadline date:04/08/2017
GOOD PRACTICES:	
AREAS OF IMPROVEMENT:	
<p>The factory has established the procedure for preventing any act of corruption, extortion or embezzlement, or any form of bribery in its activities as a business enterprise, and the factory has also taken the necessary measures to not be involved in falsifying information related to its activities, structure and performance or in any act of misrepresentation of its supply chain. The factory provide training on this part for workers and management, and conduct risk assessment of this part.</p> <p>工厂已经建立反对在其企业活动中出现的任何贪污、勒索或挪用行为、或任何贿赂形式的程序;工厂也采取了必要的措施防止出现关于其活动、架构和绩效的误传信息、或者在供应链中做出任何不当陈述。工厂为员工和管理层提供了培训, 也进行了风险评估。</p> <p>13.2 - It was noted that the factory's address on business licence was "NO.A13,4/F,VICE-BUILDING,PRIVATE,ENTERPRISE SCIENCE & TECHNOLOGY PARK,NO.10TH KEJI ONE ROAD, TANGJIA WAN TOWN,ZHUHAI, GUANGDONG,CHINA(MAIN LAND)", but the factory actual address was "Sunlu Industrial Park, No.38 Yongtian Road, Trade Logistics Center Phase Two, Qianshan, Xiangzhou District, Zhuhai, Guangdong, China" in February 2017. The factory did not update address registration since they moved to current place in February 2017. Refer to Regulations of PRC for controlling the registration of enterprises as legal persons Article 17</p> <p>工厂的营业执照地址为“珠海市唐家湾镇港湾大道科技一路10号副楼四层A13区”, 但是工厂实际地址为“珠海市香洲区前山商贸物流中心二期永田路38号三绿工业园”。工厂2017年2月从原地址搬迁至现址, 但未变更营业执照。参考《中华人民共和国企业法人登记管理条例》第十七条</p>	
Remarks from Auditee:	

Summary



Audit Type	Date	Audit Id	PA1	PA2	PA3	PA4	PA5	PA6	PA7	PA8	PA9	PA10	PA11	PA12	PA13	Overall Rating
Full Audit	05/05/2017	79281	D	B	A	A	C	D	A	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
Fire extinguishers.JPG

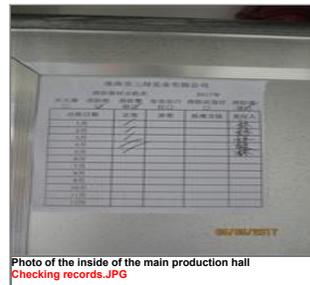


Photo of the inside of the main production hall
Checking records.JPG



External photo(s) of the production unit(s)
Industrial park gate and overview.JPG



Photo of fire safety equipment
Fire hydrant testing.JPG



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



External photo(s) of the production unit(s)
One 5 storey production building.JPG



Photo of fire safety equipment
Fire hydrant.JPG



Photo of the inside of the main production hall
Filament workshop.JPG



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

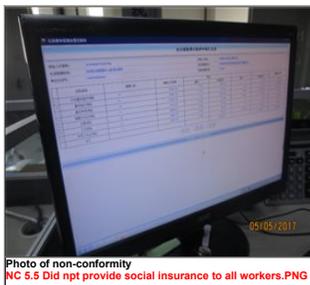


Photo of non-conformity
NC 5.5 Did not provide social insurance to all workers.PNG



Photo of the inside of the main production hall
Lift.JPG



Photo first aid facilities
Eye washing.JPG

员工月加班表											
姓名	日期	加班时间	加班次数	加班时长	加班工资						
王XX	2017/01	20	10	1200	1200	1200	1200	1200	1200	1200	1200
李XX	2017/02	25	12	1440	1440	1440	1440	1440	1440	1440	1440
张XX	2017/03	30	15	1800	1800	1800	1800	1800	1800	1800	1800
赵XX	2017/04	35	18	2160	2160	2160	2160	2160	2160	2160	2160
刘XX	2017/05	40	20	2400	2400	2400	2400	2400	2400	2400	2400
陈XX	2017/06	45	23	2700	2700	2700	2700	2700	2700	2700	2700
周XX	2017/07	50	25	3000	3000	3000	3000	3000	3000	3000	3000
吴XX	2017/08	55	28	3360	3360	3360	3360	3360	3360	3360	3360
徐XX	2017/09	60	30	3600	3600	3600	3600	3600	3600	3600	3600
孙XX	2017/10	65	33	3960	3960	3960	3960	3960	3960	3960	3960
李XX	2017/11	70	35	4200	4200	4200	4200	4200	4200	4200	4200
周XX	2017/12	75	38	4560	4560	4560	4560	4560	4560	4560	4560
吴XX	2018/01	80	40	4800	4800	4800	4800	4800	4800	4800	4800
徐XX	2018/02	85	43	5160	5160	5160	5160	5160	5160	5160	5160
孙XX	2018/03	90	45	5400	5400	5400	5400	5400	5400	5400	5400
李XX	2018/04	95	48	5760	5760	5760	5760	5760	5760	5760	5760
周XX	2018/05	100	50	6000	6000	6000	6000	6000	6000	6000	6000

Photo of non-conformity
NC 6.2 Monthly overtime were exceed 36 hours.PNG



Photo of the inside of the main production hall
Mixing.JPG



Photo first aid facilities
First aid box.JPG



Photo of non-conformity
NC 7.13 No inner cover.JPG



Photo of the inside of the main production hall
Packing.JPG



Photo first aid facilities
First aid procedure.JPG



Photo of non-conformity
NC 7.17 No safety guard.JPG



Photo of the inside of the main production hall
Private lockers.JPG

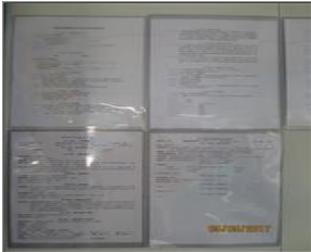


Photo of chemical storage room (if applicable)
MSDS.JPG



Photo of the canteen (if applicable)
Canteen.JPG



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



Photo of chemical storage room (if applicable)
Secondary container.JPG



Photo of the canteen (if applicable)
Kitchen.JPG



Photo of the inside of the main production hall
Ventilation device in assembly.JPG



Photo of fire safety equipment
Evacuation plan.JPG



Photo of the code of conduct on display
COC.JPG



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



Photo of fire safety equipment
Exit sign.JPG



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



Photo of the inside of the main production hall
Warning signs.JPG



Photo of fire safety equipment
Fire alarm.JPG



Photo of the inside of the main production hall
Assembly workshop.JPG



Photo of the personal protection equipments (if applicable)
Filament workshop worker wear mask and earplug.JPG



Photo of fire safety equipment
Fire extinguisher pressure.JPG



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



Photo of the sanitary facilities
Toilet.JPG