

# BBB (Bed Bath & Beyond) CoC Audit Checklist

Location Information	Audit Information
<b>Location ID:</b> BBB961	<b>Audit Name:</b> BBB (Bed Bath & Beyond) CoC Audit Checklist
<b>Location:</b> Suzhou DUOLAIYUN HOUSEWARECO.LTD	<b>Type:</b> Initial Audit
<b>Address:</b> No.13ZhenBei Road Xizhang Fenghuang Town,	<b>Start Date:</b> 31 Aug 2016 08:40 AM
<b>Address 2:</b>	<b>End Date:</b> 31 Aug 2016 04:00 PM
<b>City/State/Zip:</b> Zhangjiagang, China	<b>Auditor:</b> Feier Ding
<b>Email:</b>	

## Code of Conduct Rating

No	CSR Section	Score Possible	Score Achieved	Critical Failure Found	Zero Tolerance Failure Found	Section Rating	Min. Requirement	Section Possible
ACL	SECTION A. Child Labor / Young Labor	10	10			100.00%	60%	100%
BFL	SECTION B. Involuntary / Forced Labor	12	12			100.00%	60%	100%
CD	SECTION C. Discrimination	6	6			100.00%	60%	100%
DDP	SECTION D. Disciplinary Practices	10	10			100.00%	60%	100%
EWH	SECTION E. Working Hours	12	10			83.33%	60%	100%
FC	SECTION F. Wages & Benefits	22	18			81.82%	60%	100%
GHS	SECTION G. Health & Safety	78	68			87.18%	60%	100%
HFA	SECTION H. Employee Relations	10	10			100.00%	60%	100%
IE	SECTION I. Environmental Protection	14	14			100.00%	60%	100%
JE	SECTION J. Ethics	0	0				60%	100%
KSC	SECTION K. Sub-Contracting							
LMC	SECTION L. Monitoring of Compliance	0	0				60%	100%
MRS	SECTION M. Conflict Minerals							
<b>Overall Summary</b>		<b>174</b>	<b>158</b>	<b>0</b>	<b>0</b>	<b>90.80%</b>	<b>60%</b>	<b>100%</b>

<b>Overall Result</b>	<b>GREEN</b>	<b>Critical Failure Found</b>	<b>0</b>	<b>Zero Tolerance Failure Found</b>	<b>0</b>
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## Audit Category Summary:

Category/Sub Category	Points	Total Points	Score
Audit Information	N/A	N/A	N/A
Audit Information : I. Audit Information	N/A	N/A	N/A
Audit Information : II. Audited Factory Information	N/A	N/A	N/A
Audit Information : III. Auditor Team	N/A	N/A	N/A
Audit Information : IV. Auditee Representatives	N/A	N/A	N/A
Audit Information : V. Subcontractor Factory	N/A	N/A	N/A

Social Checklist	158	174	91%
Social Checklist : SECTION A. Child Labor / Young Labor	10	10	100%
Social Checklist : SECTION B. Involuntary / Forced Labor	12	12	100%
Social Checklist : SECTION C. Discrimination	6	6	100%
Social Checklist : SECTION D. Disciplinary Practices	10	10	100%
Social Checklist : SECTION E. Working Hours	10	12	83%
Social Checklist : SECTION F. Wages & Benefits	18	22	82%
Social Checklist : SECTION G. Health & Safety	68	78	87%
Social Checklist : SECTION H. Employee Relations	10	10	100%
Social Checklist : SECTION I. Environmental Protection	14	14	100%
Social Checklist : SECTION J. Ethics	0	0	N/A
Social Checklist : SECTION K. Sub-Contracting	N/A	N/A	N/A
Social Checklist : SECTION L. Monitoring of Compliance	0	0	N/A
Social Checklist : SECTION M. Conflict Minerals	N/A	N/A	N/A
<b>Total</b>	<b>158</b>	<b>174</b>	<b>91%</b>

## Ratings Summary:

Rating	Low Score	High Score
GREEN	90	100
YELLOW	70	89.99
ORANGE	50	69.99
RED	0	49.99

## Critical Question Summary

**[SGS advises you to take immediate corrective action on these non-conformances.]:**

Question ID	Question	Answer
There are no critical items found on this result.		

## Choice Summary:

Choice Text	Points	Total Points
0	0	2
1	1	2
2	2	2
ACCP	0	0
Click Here	0	0
Direct Import	0	0
FAIL	0	0
N/A	0	0
No	0	0
Nominated Vendor (Packaging)	0	0
Private Label	0	0
Yes	0	0

## Audit Information: I. Audit Information

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
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AI1	SGS Job No.	JSASCN16395891	N/A	N/A	N/A
AI2	Name of Client	BED BATH & BEYOND	N/A	N/A	N/A
AI3	Name of Vendor		N/A	N/A	N/A
AI4	BB&B Concept(s)	Click Here	N/A	N/A	N/A
AI5	BB&B Category	Direct Import	N/A	N/A	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

## Audit Information: II. Audited Factory Information

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
ABI1	Contact Person	Mr.Li Menghan	N/A	N/A	N/A
ABI2	Title	General Manager	N/A	N/A	N/A
ABI3	Telephone	13032531118	N/A	N/A	N/A
ABI4	Fax	0512-58420008	N/A	N/A	N/A
ABI5	E-mail	Frank.li@duolaiyun.com	N/A	N/A	N/A
BFO1	Products Manufactured	bath mat	N/A	N/A	N/A
BFO2	Production Capacity	250000 pcs per month	N/A	N/A	N/A
BFO3	Qty per year	3000000 pcs	N/A	N/A	N/A
BFO4	Factory Layout (S.Q. Meters): Material Storage	1000	N/A	N/A	N/A
BFO5	Factory Layout (S.Q. Meters): Manufacturing Area	3500	N/A	N/A	N/A
BFO6	Factory Layout (S.Q. Meters): Finished Goods Storage	1500	N/A	N/A	N/A
BFO7	Factory Layout (S.Q. Meters): Dormitory Area	0	N/A	N/A	N/A
BFO8	Factory Layout (S.Q. Meters): Kitchen and Canteen	0	N/A	N/A	N/A
BFO9	Factory Layout (S.Q. Meters): Total	6000	N/A	N/A	N/A
	<b>Comments</b>				
	<ul style="list-style-type: none"> <li>Remark: The factory rented the plant area(#3 building/ one of single storey building) from Zhangjiagang Beishun Rubber products co.,ltd . The factory provided the contract for review.</li> </ul>				
BFO10	Production Process Flow	Raw material-cutting-sewing-inspection-packing	N/A	N/A	N/A
BFO11	Equipment Used	sewing machine	N/A	N/A	N/A
BFO13	Other Brands in Factory	LIDLE, WAL-MART	N/A	N/A	N/A
CED1	Supervisors/Managers: Male	1	N/A	N/A	N/A
CED2	Supervisors/Managers: Female	1	N/A	N/A	N/A
CED3	Supervisors/Managers: Sub-total	2	N/A	N/A	N/A
CED4	Administration Staff: Male	1	N/A	N/A	N/A
CED5	Administration Staff: Female	1	N/A	N/A	N/A
CED6	Administration Staff: Sub-total	2	N/A	N/A	N/A
CED7	Quality Control Staff: Male	0	N/A	N/A	N/A
CED8	Quality Control Staff: Female	2	N/A	N/A	N/A
CED9	Quality Control Staff: Sub-total	2	N/A	N/A	N/A
CED10	Engineering Staff: Male	1	N/A	N/A	N/A
CED11	Engineering Staff: Female	0	N/A	N/A	N/A
CED12	Engineering Staff: Sub-total	1	N/A	N/A	N/A
CED13	Permanent Workers: Male	5	N/A	N/A	N/A
CED14	Permanent Workers: Female	35	N/A	N/A	N/A
CED15	Permanent Workers: Sub-total	35	N/A	N/A	N/A
CED16	Temporary/contract workers: Male	0	N/A	N/A	N/A

CED17	Temporary/contract workers: Female	0	N/A	N/A	N/A
CED18	Temporary/contract workers: Sub-total	0	N/A	N/A	N/A
CED19	Total: Male	8	N/A	N/A	N/A
CED20	Total: Female	39	N/A	N/A	N/A
CED21	Total Employees	47	N/A	N/A	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

### Audit Information: III. Auditor Team

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
AT1	Auditor Name	Feier Ding	N/A	N/A	N/A
AT2	Auditing Company	SGS-CSTC	N/A	N/A	N/A
AT3	Role in the team	Leader auditor	N/A	N/A	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

### Audit Information: IV. Auditee Representatives

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
AR1	Name	Mr.Li Menghan	N/A	N/A	N/A
AR2	Position/Department	General Manager	N/A	N/A	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

### Audit Information: V. Subcontractor Factory

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
V1	Factory Name	NA	N/A	N/A	N/A
V2	Address	NA	N/A	N/A	N/A
V3	Contact Person	NA	N/A	N/A	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

### Social Checklist: SECTION A. Child Labor / Young Labor

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
A1	Does the factory have a copy of valid laws and regulations on child labor OR understand its requirements? <b>Comments</b> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>According to document review and management interview, the factory obtained a copy of valid laws and regulations on child labor and understood its requirement.</i></li> </ul>	2	2	2	100%
A2	Does the factory have effective procedures to verify the age of worker at the time of recruitment? <b>Comments</b> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>According to worker interview and management interview, the factory would check employees' ID cards to verify the age of workers at the time of recruitment.</i></li> </ul>	2	2	2	100%

A3	Does the factory keep adequate age documents for workers such as ID copies and personnel records? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>The factory kept employees' personnel records which included the ID card copies, personnel photos and basic information.</i></li><li>• Type of age document: <i>ID card copies</i></li></ul>	2	2	2	100%
A4	<b>Is there any evidence identified that child labor is currently present at the factory?</b> <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Legal minimum age: 16</i></li></ul> <p><i>No child labor was identified in the factory, the youngest employee in the factory was born on Jan 12, 1996 and recruited on Apr 18, 2016.</i></p> <ul style="list-style-type: none"><li>• Legal minimum age: <i>16</i></li></ul>	ACCP	0	0	N/A
A5	<b>Is there any evidence identified that child labour had been employed in the past at the factory?</b> <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>No historical child labor was identified in the factory.</i></li></ul>	ACCP	0	0	N/A
A6	Are there procedures in place for monitoring and protecting young workers (between legal minimum age and 18)? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Legal work hour restriction: 16~18 years. The factory established a procedure to monitor young workers' working hours. No young workers were identified during this audit.</i></li><li>• Legal work hour restriction: <i>16~18 years</i></li></ul>	2	2	2	100%
A7	Are laws or factory policies regarding Child labor/Young labor communicated to all employees? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on worker interview and management interview, the policy was established in employee handbook and communicated to all employees when recruited.</i></li></ul>	2	2	2	100%
<b>Totals</b>			<b>10</b>	<b>10</b>	<b>100%</b>

## Social Checklist: SECTION B. Involuntary / Forced Labor

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
B1	Does the factory have a copy of valid laws and regulations on forced labor or understand its requirements? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Location of policy posted: Nil.</i></li><li>• <i>Based on document review and management interview, the factory obtained a copy of valid laws and</i></li></ul>	2	2	2	100%

	<p><i>regulations on forced labor and understood its requirement.</i></p> <ul style="list-style-type: none"> <li>Location of policy posted: <i>Nil</i></li> </ul>				
B2	<p><b>Does the factory use any type of forced, prison, indentured, or bonded labor?(including slavery and human trafficking)</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li><i>Comments</i> <ul style="list-style-type: none"> <li><i>All workers worked in the factory were voluntarily. Forced, prison, indentured, or bonded labor was not identified during this audit. That's confirmed by workers interview.</i></li> </ul> </li> </ul>	ACCP	0	0	N/A
B3	<p>Do all workers sign legal employment contracts with the factory?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li><i>Comments</i> <ul style="list-style-type: none"> <li><i>Based on workers interview and procedure of prohibiting forced labor review, all workers signed legal employment contracts with the factory and kept the copies by themselves.</i></li> </ul> </li> </ul>	2	2	2	100%
B4	<p>Is any restriction placed on leaving after working hours?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li><i>Comments</i> <ul style="list-style-type: none"> <li><i>Confirmed by workers interview, they were free to leave after working hours.</i></li> </ul> </li> </ul>	2	2	2	100%
B5	<p>Are overtime works voluntary?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li><i>Comments</i> <ul style="list-style-type: none"> <li><i>Based on workers interview, overtime work was voluntary in the factory, and workers could refuse overtime work.</i></li> </ul> </li> </ul>	2	2	2	100%
B6	<p>Are workers permitted time-off with doctor's certificate or note when sick or for maternity?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li><i>Comments</i> <ul style="list-style-type: none"> <li><i>Workers could be permitted time-off when sick or other reasonable personal issues.</i></li> </ul> </li> </ul>	2	2	2	100%
B7	<p>Is there any evidence apparent that security guards are/were used to discipline workers?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li><i>Comments</i> <ul style="list-style-type: none"> <li><i>Based on security guard management rule review and workers interview, no evidence of security guards were used to discipline workers was identified.</i></li> </ul> </li> </ul>	2	2	2	100%
<b>Totals</b>			<b>12</b>	<b>12</b>	<b>100%</b>

## Social Checklist: SECTION C. Discrimination

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
C1	<p>Does the factory have a copy of valid laws and regulations on non-discrimination or understand its requirements?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li><i>Comments</i> <ul style="list-style-type: none"> <li><i>The factory established the procedure of non-discrimination and the factory management understood its requirements.</i></li> </ul> </li> </ul>	2	2	2	100%

C2	<p>Is there any evidence of the occurrence of discrimination in employment, promotion, compensation, welfare, dismissal, retirement, etc?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory established the procedure of non-discrimination and no negative evidence was identified during audit.</i></li> </ul>	ACCP	0	0	N/A
C3	<p>Do workers have access to and are they familiar with procedures for filing complaints about discrimination?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory established the procedure on non-discrimination and confirmed by worker interviews, worker understood their rights.</i></li> </ul>	2	2	2	100%
C4	<p>Is there evidence of discrimination related to female workers?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Verified by payrolls review and workers interview, workers were paid on the basis of their skills and ability. Women were paid equally as men for same work in the factory.</i></li> </ul>	2	2	2	100%
<b>Totals</b>			<b>6</b>	<b>6</b>	<b>100%</b>

## Social Checklist: SECTION D. Disciplinary Practices

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
D1	<p>Does the factory have a copy of valid laws and regulations on disciplinary practices or understand its requirements?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory established regulations on disciplinary practices and the factory management understand the legal requirement.</i></li> </ul>	2	2	2	100%
D2	<p>Does the factory have documented, legal, and reasonable disciplinary rules?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on documents review, documented disciplinary rules were available in the factory.</i></li> </ul>	2	2	2	100%
D3	<p>Does the factory provide an employee handbook with disciplinary policies documented?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory provided employee handbook with disciplinary policy.</i></li> </ul>	2	2	2	100%
D4	<p>Is there evidence that the factory uses physical, verbal, sexual, or psychological abuse in workplace?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>No such negative evidence was identified during this audit.</i></li> </ul>	ACCP	0	0	N/A

D5	Do workers have access to appeal in case of infractions/breaking of rules? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i><ul style="list-style-type: none"><li>• <i>Based on workers interview, they could complaint any issue about their concerns to their supervisors directly or worker representative.</i></li></ul></li></ul>	2	2	2	100%
D6	Are deductions taken from pay for infractions/breaking of rules legal? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i><ul style="list-style-type: none"><li>• <i>Based on disciplinary procedure and payroll review and workers interview, no deduction was taken from pay for infractions/breaking of factory rules.</i></li></ul></li></ul>	2	2	2	100%
<b>Totals</b>			<b>10</b>	<b>10</b>	<b>100%</b>

## Social Checklist: SECTION E. Working Hours

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
E1	Does the factory have a copy of valid laws and regulations on working hours or understand its requirements? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i><ul style="list-style-type: none"><li>• <i>Local law for regular work week hours: 40 hours</i> <i>The factory established a regulation on working hours which was in line with legal requirement and the factory management understood the regulation.</i></li><li>• <i>Local law for regular work week hours: 40 hours</i></li></ul></li></ul>	2	2	2	100%
E2	Does the factory have a written policy for working hours, rest, vacations, and overtime in accordance with local legal requirement? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i><ul style="list-style-type: none"><li>• <i>The factory established the regulation of working policy which included working hours, rest, vacations, and overtime control requirement in according with local legal requirement.</i></li></ul></li></ul>	2	2	2	100%
E3	Does the factory communicate the policy on working hours, rest, and vacations to all workers? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i><ul style="list-style-type: none"><li>• <i>Written policy on working hours, rest and vacations was established in the factory, and communicated to the workers through employee handbook.</i></li></ul></li></ul>	2	2	2	100%
E4	<b>Does the factory maintain complete and consistent working hours records for at least 12 months?</b> <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i><ul style="list-style-type: none"><li>• <i>Based on document review, the factory provided the electronic attendance records from Aug 1, 2015 to audited day for review.</i></li></ul></li></ul>	ACCP	0	0	N/A
E5	Do the workers have at least one day (24 consecutive hours) off per 7 days? <b>Comments</b>	2	2	2	100%



	<ul style="list-style-type: none"> <li>Comments</li> <li>Based on attendance records from Aug 1, 2015 to audited day offered by factory, all workers at least had one day off per seven days.</li> </ul>				
E6	<p>Do the hours worked, including overtime hours, comply with local regulations (daily , weekly, monthly)?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>Comments</li> <li><b>Finding:</b> Based on the attendance records from Aug. 1, 2015 to the audit day provided by the factory, it was identified that all sampling workers had worked exceed 36h in every month except Feb,2016. The maximum month overtime was 82h in Jul,2016.</li> </ul> <p><b>It violated Labor Law of the People's Republic of China (1994), Article 41</b></p> <p><i>The employing unit may extend working hours due to the requirements of its production or business after consultation with the trade union and laborers, but the extended working hour for a day shall generally not exceed one hour; if such extension is called for due to special reasons, the extended hours shall not exceed three hours a day under the condition that the health of laborers is guaranteed. However, the total extension in a month shall not exceed thirty six hours.</i></p> <p><i>Corrective action plan:</i></p> <p><i>The factory should ensure the overtimes of workers meet with the legal requirements.</i></p>	0	0	2	0%
E7	<p>Do the workers have over 60 working hours per week (unless authorized by local government)?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>Comments</li> <li>Based on attendance records from Aug 1, 2015 to audited day offered by factory, the maximum of workers' weekly working hours were 60 hours.</li> </ul>	ACCP	0	0	N/A
E8	<p>Does the factory provide the legally required meal breaks?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>Comments</li> <li>Based on workers interview and documents review, workers would have 1 hour for meal break.</li> </ul>	2	2	2	100%
<b>Totals</b>			<b>10</b>	<b>12</b>	<b>83%</b>

## Social Checklist: SECTION F. Wages & Benefits

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
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F1	<p>Does the factory have a copy of valid laws and regulations on compensation and benefits and/or understand its requirements?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory had a copy of valid laws and regulations on compensation and benefits and the management understood its requirements.</i></li> </ul>	2	2	2	100%
F2	<p>Does the factory have written policy on compensation and benefits and communicate this policy to all workers?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on documents review, the factory had established a written policy on compensation and benefits and based on workers interview, they understood the policy well.</i></li> </ul>	2	2	2	100%
F3	<p><b>Do all workers' wages meet local minimum wages? (including trainees/apprentice/workers in probation period)</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on payroll records from Aug,2015 to Jul,2016,all workers' minimum wages were paid by month rate,they were calculated at least 2000 per month,which met the legal minimum wages requirements RMB1680/month before Jan, 2016 and RMB1820/month since Jan, 2016.</i></li> </ul>	ACCP	0	0	N/A
F4	<p><b>Does the factory maintain complete and consistent payroll records for all workers for at least 12 months?</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on document review, the factory provided the payroll records from Aug 2015 to Jul 2016 for review.</i></li> </ul>	ACCP	0	0	N/A
F5	<p>Are workers paid the legally required overtime rates and wages?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> </ul> <p><b>Finding:</b><i>Based on the payroll records from Aug 2015 to Jul 2016 and attendance records from Aug 2015 to the audit day provided by factory, the day (2015/9/3) was national statutory holiday, all workers had attendance records, but the factory did not pay enough overtime compensation for workers, the factory just paid 100% of normal wage for workers.</i></p> <p><b>It violated <i>Labor Law of the People's Republic of China (1994), Article 44</i></b></p> <p><i>The employing unit shall, according to the following standards, pay laborers remunerations higher than those for normal working hours under any of the following circumstances:</i></p> <p><i>(1) to pay no less than 150 per cent of the normal wages if the extension of working hours is arranged;</i></p>	0	0	2	0%

(2) to pay no less than 200 per cent of the normal wages if the extended hours are arranged on days of rest and no deferred rest can be taken;

(3) to pay no less than 300 per cent of the normal wages if the extended hours are arranged on statutory holidays.

*Corrective action plan:*

*The factory should pay overtime compensation in line with legal requirements.*

F6	<p>Are wage slips given to workers and do they understand the wage break down?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Yes. Based on worker interviews, they could received wage slips for confirmation of their wages monthly.</i></li> </ul>	2	2	2	100%
F7	<p>Does the factory provide legally required benefits on annual leave?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Yes. Annual leaves were provided for workers who had worked for 1 year.</i></li> </ul>	2	2	2	100%
F8	<p>Does the factory provide legally required benefits on maternity leave?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory had established the procedure of wages and benefits, based on workers interview, workers would be paid the legally required benefits on maternity leave. No such case was found during the audit time.</i></li> </ul>	2	2	2	100%
F9	<p>Does the factory provide legally required benefits on paid holidays?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory established the procedure to provide legally required benefits on paid holidays to all workers.</i></li> </ul>	2	2	2	100%
F10	<p>Does the factory provide legally required benefits on social insurance?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> </ul> <p><b>Finding:</b></p> <p><i>Based on document review and management interview, there were total 47 employees in the factory. The factory provided five social insurances (retirement, accident, unemployment, medical and maternity insurance) for 21 workers, and provided accident insurances for the other</i></p>	0	0	2	0%

workers.

**It violated Labor Law of the People's Republic of China (1994) requires Article 72, Article 73**

*Article 72, The sources of social insurance funds shall be determined according to the categories*

*Of insurance, and an overall pooling of insurance funds from the society shall be introduced step by step.*

*The employing unit and laborers must participate in social insurance and pay social insurance premiums*

*in accordance with the law.*

*Article 73, Laborers shall, in accordance with the law, enjoy social insurance benefits under the following*

*circumstances:*

- 1. Retirement;*
- 2. Illness or injury;*
- 3. Disability caused by work-related injury or occupational disease;*
- 4. Unemployment;*
- 5. Child-bearing.*

*Corrective action plan:*

*The factory should provide five social insurances for all workers as per legal requirements.*

F11	Are workers' wages deducted for any reason other than taxes and social security? Are these deductions fair, reasonable, and legal? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on workers interview and payroll recordsreview, no deduction for any reason other than tax, social insurance.</i></li></ul>	2	2	2	100%
F12	Is the payment frequency legal? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on workers interview and document review, all workers were paid before 30th of the next month by blank transfer, which complied with legal requirement.</i></li></ul>	2	2	2	100%

F13	Is there a sufficient system to let workers check/verify their wages? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>The factory issued the wage slips to all employees; they could check the detail of wages according to the wage slips.</i></li></ul>	2	2	2	100%
<b>Totals</b>			<b>18</b>	<b>22</b>	<b>82%</b>

## Social Checklist: SECTION G. Health & Safety

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
G1	Does the factory have a copy of current national laws/regulations on health and safety and/or understand its requirements? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on management interview, they knew the law requirement about health and safety well.</i></li></ul>	2	2	2	100%
G2	Is a senior management representative for health and safety appointed? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Li Ning/Factory director was responsible for health and safety management.</i></li></ul>	2	2	2	100%
G3	Does the factory arrange health and safety training for all workers? Does it include fire safety training? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on management and worker interviews, H&amp;S training would be provided to workers on the date of recruitment.</i></li></ul>	2	2	2	100%
G4	Are accidents and/or daily injuries recorded? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>The factory recorded the injury and handling method and performed injury statistic &amp; analysis and took corrective &amp; preventive actions.</i></li></ul>	2	2	2	100%
G5	Does the factory have all legally-required permits and approvals for health and safety, including high-risk equipment and its operators? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on onsite observation, no special equipment was used in the factory.</i></li></ul>	2	2	2	100%
G6	Is there valid construction approval where required by law? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>The factory should obtain the Building Structure Safety Certificate or Record of production building.</i></li><li>• Date of last structural inspection of the building: <i>2007/5/28</i></li><li>• Name of the agency:  <i>Jiangsu Gaohua Constructions Co.,LTD</i></li><li>• Result of the inspection:  <i>Approval</i></li></ul>	2	2	2	100%

G7	Are all site buildings maintained in good physical condition? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on onsite observation, all buildings were in good condition.</i></li></ul>	2	2	2	100%
G8	Have allowable floor weights been determined (in the case of heavy machinery found on any upper floors), posted, and communicated to the relevant employees, if required by law? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on onsite observation, no heavy machinery was located on upper floor.</i></li></ul>	N/A	N/A	N/A	N/A
G9	Is potable water accessible and adequate on each factory floor? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on onsite observation, potable water facilities were available.</i></li></ul>	2	2	2	100%
G10	Are lavatory facilities accessible, clean, and available in reasonable number on each factory floor? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>The lavatory facilities were accessible and clean. And the number was adequate.</i></li></ul>	2	2	2	100%
G11	Is there valid fire license where required by law? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>The factory provided the fire service certificate of production building and dormitory building for review.</i></li></ul>	2	2	2	100%
G12	Does the Facility have a written fire emergency preparedness plan? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li><li>• <i>Based on documents review, the factory had established a written emergency preparedness plan included fire emergency preparedness plan.</i></li></ul>	2	2	2	100%
G13	Does the facility have evacuation routes posted in the work areas (and in dormitories, if applicable)? <b>Comments</b> <ul style="list-style-type: none"><li>• <i>Comments</i></li></ul> <p><b>•Finding:</b> <i>Based on onsite observation, it was noted that no emergency evacuation plan was posted in all workshop, such as packing area.</i></p> <p><b><i>It violated Fire Prevention Law of the People's Republic of China (2008), Article 16</i></b></p> <p><i>Organs, social groups, enterprises, public institutions and other entities shall perform the following fire safety duties:</i></p> <p><i>1. to implement a fire safety accountability system, formulate the entity's fire safety bylaws and operating procedures for fire safety, and work out a firefighting and emergency evacuation preparedness plan;</i></p>	0	0	2	0%

2. To prepare fire protection facilities and apparatuses under the national standards and industrial standards, set up fire safety signs, and conduct regular testing and maintenance so as to ensure that they are in good condition and effective.

*Corrective action plan:*

*The factory should post the emergency evacuation plan for all workshops.*

G14	Are fire drills conducted twice a year (once in peak season and once in low season) and documented?	0	0	2	0%
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**Comments**

- *Comments*

**•Finding:**

*Based on document review and management interview, the factory was unable to provide the fire drill records for first half year in 2016, the date of the last fire drill records was Dec 22, 2015.*

**It violated Regulation on Fire Prevention Safety Administration of State Organs, Associations, Enterprises and Institutions (2001), Article 40**

*Key units for fire prevention safety shall, according to emergency plan for fire fighting and evacuation, conduct the fire drill at least once every six months, and keep improving the plan in accordance with the actual conditions. Other units shall formulate the emergency plan based on the reality and conduct fire drill at least once per year.*

*Corrective action plan:*

*The facility should conduct fire drill at least once every 6 months as per the legal requirements, and keep the fire drill records.*

- List dates of fire drills in the last 12 months:  
*Dec 22, 2015*

G15	Does the factory have an adequate amount of fire-fighting equipment (fire extinguishers, fire hydrants/hoses, sprinklers, alarms, etc.) according to local laws?	2	2	2	100%
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**Comments**

- *Comments*

*• Based on onsite observation, the factory had equipped adequate fire extinguishers onsite which was in line with legal requirement.*

G16	<p>Is all fire-fighting equipment inspected and tested regularly and ready to use at all times/well maintained?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <b>Finding:</b> <i>Based on onsite observation, two-site fire hydrants were blocked by production material, such as in raw material warehouse.</i></li> </ul> <p><b><i>It violated Fire Prevention Law of the People's Republic of China (2008), Article 16</i></b></p> <p><i>Organs, social groups, enterprises, public institutions and other entities shall perform the following fire safety duties:</i></p> <p><i>(2) to prepare fire protection facilities and apparatuses under the national standards and industrial standards, set up fire safety signs, and conduct regular testing and maintenance so as to ensure that they are in good condition and effective.</i></p> <p><i>Corrective action plan:</i></p> <p><i>Factory should make sure all fire hydrants are easily accessible at any time.</i></p>	0	0	2	0%
G17	<p>Are appropriate fire extinguishers available, clearly marked, visible, and accessible?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <b>Finding:</b> <i>Based on onsite observation, three-site fire extinguishers were blocked by production material, such as in raw material warehouse.</i></li> </ul> <p><b><i>It violated Code for Design of Extinguisher Distribution in Buildings (GB50140-2005), Article 5.1.1</i></b></p> <p><i>Fire extinguishers shall be installed in a distinct and easily accessible location, and shall not hinder safe evacuation.</i></p> <p><i>Corrective action plan:</i></p> <p><i>Factory should make sure all fire extinguishers are easily accessible at any time.</i></p>	0	0	2	0%
G18	<p>Are fire and hazard early warning systems, such as smoke detectors, installed and regularly tested?</p> <p><b>Comments</b></p>	2	2	2	100%



	<ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, the fire alarms were installed at all workshops.</i></li> </ul>				
G19	<p>Are exit routes, factory exits, and fire/emergency exits identified with signs or other indicator lights?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, the emergency exits and routes were identified with signs and emergency light.</i></li> </ul>	2	2	2	100%
G20	<p>Are adequate emergency lights installed on each factory floor?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, emergency lights were installed on each factory floor.</i></li> </ul>	2	2	2	100%
G21	<p>Is any fire exit and/or escape route blocked?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, there were no fire exits or escape routes blocked.</i></li> </ul>	2	2	2	100%
G22	<p><b>Is any emergency exit door locked?</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, all emergency exit doors were open, it was acceptable.</i></li> </ul>	ACCP	0	0	N/A
G23	<p><b>Are emergency exit doors able to be opened freely and easily in the direction of exit?</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, all emergency exit doors could be opened freely.</i></li> </ul>	ACCP	0	0	N/A
G24	<p><b>Is there a secondary exit for all floors and buildings (including dormitories, if applicable) when required by local law?</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, there were secondary exits for all floors, it was acceptable.</i></li> </ul>	ACCP	0	0	N/A
G25	<p>Are hazardous and other areas appropriately posted with "No Smoking" signs?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, the factory posted the signs of "No Smoking" onsite.</i></li> </ul>	2	2	2	100%
G26	<p>Are gas cylinders properly marked, utilized, inspected, stored and secured?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, no gas cylinder was used in the factory.</i></li> </ul>	N/A	N/A	N/A	N/A
G27	<p>Is adequate guarding installed for moving/rotating parts of machines, such as pulleys and belts, or any other dangerous parts of machines?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <b>Finding:</b> <i>Based on onsite observation, the factory did not install the finger safeguards for all sewing</i></li> </ul>	0	0	2	0%

*machines.*

***It violated General Rules of Design on Health and Safety of Production Facility (GB 5083-1999), Article 6.1.2***

*Necessary safeguard shall be installed for all moving parts that are accessible to the operator during machine operation.*

*Corrective action plan:*

*The factory should install safeguards for for all sewing machines.*

G28	Where required, is machinery equipped with emergency stop buttons? <b>Comments</b> <ul style="list-style-type: none"><li><i>Comments</i></li><li><i>Based on onsite observation, there were adequate emergency stop buttons were installed for related machinery.</i></li></ul>	2	2	2	100%
G29	Is power isolation equipment (i.e. lockout/tagout) used during maintenance/repairs? <b>Comments</b> <ul style="list-style-type: none"><li><i>Comments</i></li><li><i>Based on document review, electricity safety use policy was established in the factory.</i></li></ul>	2	2	2	100%
G30	Is any instruction emphasized to prohibit loose clothing, jewelry, and/or long hair near moving machinery? <b>Comments</b> <ul style="list-style-type: none"><li><i>Comments</i></li><li><i>Based on document review and onsite observation, it was acceptable.</i></li></ul>	2	2	2	100%
G31	Are electrical safety procedures implemented effectively to ensure safety precautions such as grounding, discharging, and testing are carried out? <b>Comments</b> <ul style="list-style-type: none"><li><i>Comments</i></li><li><i>The factory established the electrical safety procedure and implemented effectively to ensure safety precautions such as grounding, discharging, and testing were carried out.</i></li></ul>	2	2	2	100%
G32	Is electrical equipment wiring covered and insulated to prevent exposure of wires? <b>Comments</b> <ul style="list-style-type: none"><li><i>Comments</i></li><li><i>All electric switches and wires were well covered.</i></li></ul>	2	2	2	100%
G33	Are hazardous substances safely and properly labeled, handled, stored, and disposed? <b>Comments</b> <ul style="list-style-type: none"><li><i>Comments</i></li><li><i>Based on onsite observation, the chemicals were stored properly.</i></li></ul>	2	2	2	100%
G34	Are Material Safety Data Sheets (MSDS) available for all chemicals in the local language and accessible to employees?	2	2	2	100%

	<p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, the MSDS was posted in workshop.</i></li> </ul>				
G35	<p>Are machines equipped, as necessary, with appropriate dust and/or VOC extraction systems?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, exhaust fan was available.</i></li> </ul>	2	2	2	100%
G36	<p>Are administration and engineering controls (reduced shift hours, ventilation fans and exhaust fans) introduced to reduce personnel exposure?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, ventilation facilities were available.</i></li> </ul>	2	2	2	100%
G37	<p>Are employees trained to handle chemicals in the factory?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on training records review and workers interview, the factory provided training to printing workers.</i></li> </ul>	2	2	2	100%
G38	<p>Are appropriate personal protective equipment (PPE) such as goggles, glasses, gloves, earplugs/earmuffs, boots, and/or protective clothing, provided at factory cost and in fully acceptable condition?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation and workers interview, the factory provided free PPE to relevant workers</i></li> </ul>	2	2	2	100%
G39	<p>Are signs posted in all areas where personal protective equipment must be worn?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, signs were posted in all areas where</i></li> </ul>	2	2	2	100%
G40	<p>Does the factory have a suitable working environment with respect to ventilation, temperature, lighting, cleanliness, and tidiness?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, the working environment was acceptable.</i></li> </ul>	2	2	2	100%
G41	<p>Does the factory arrange regular health examinations for workers exposed to hazardous substances?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i>•<i>No hazardous substances were identified in the factory.</i></li> </ul>	N/A	N/A	N/A	N/A
G42	<p>Is there adequate evidence to confirm that workers' health is not affected by hazardous factors?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i>•<i>Yes. And no hazardous substances were identified in the factory.</i></li> </ul>	2	2	2	100%
G43	<p>Are functional emergency eyewash stations and showers provided where corrosive chemicals or high volumes of solvents are handled and used?</p> <p><b>Comments</b></p>	2	2	2	100%

	<ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, it was applicable in factory.</i></li> </ul>				
G44	<p>Are adequate first aid kits located on each factory floor and marked with signs?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, adequate first aid kits were located on each workshop and marked with signs.</i></li> </ul>	2	2	2	100%
G45	<p>Are an adequate number of workers trained in first aid?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Base on document review and management interview,one workers were trained as first aiders.</i></li> </ul>	2	2	2	100%
G46	<p>If there are dormitories, are they clean, safe, properly equiped, and sufficiently spacious?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation and workers interview,no dormitory was provided for workers by factory.</i></li> </ul>	N/A	N/A	N/A	N/A
G47	<p>If there are dormitories, are they equipped sufficient showers and lavatories, and are they clean and useable?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation and workers interview,no dormitory was provided for workers by factory.</i></li> </ul>	N/A	N/A	N/A	N/A
G48	<p>If there are dormitories, are they equipped with sufficient, useable fire fighting equipment?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation and workers interview,no dormitory was provided for workers by factory.</i></li> </ul>	N/A	N/A	N/A	N/A
G49	<p><b>Is any dormitory located in the same building as production and/or warehousing?</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation and workers interview,no dormitory was provided for workers by factory.</i></li> </ul>	N/A	N/A	N/A	N/A
G50	<p>Are childcare facilities located on the ground floor of the building?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on management interview, children were not allowed to enter the factory. And no such facilities were required in China.</i></li> </ul>	N/A	N/A	N/A	N/A
G51	<p>Are dormitory rules legal, reasonable, and understood by the workers?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation and workers interview,no dormitory was provided for workers by factory.</i></li> </ul>	N/A	N/A	N/A	N/A
G52	<p>Are the factory kitchen/canteen facilities clean and hygenic?</p> <p><b>Comments</b></p>	N/A	N/A	N/A	N/A

	<ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation and workers interview, no kitchen/canteen was provided for workers by factory.</i></li> </ul>				
G53	<p>Does the kitchen/cafeteria staff have appropriate food safety training and hygiene certificates?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation and workers interview, no kitchen/canteen was provided for workers by factory.</i></li> </ul>	N/A	N/A	N/A	N/A
<b>Totals</b>			<b>68</b>	<b>78</b>	<b>87%</b>

## Social Checklist: SECTION H. Employee Relations

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
H1	<p>Does the factory have a copy of valid laws and regulations on trade union and freedom of association or understand its requirements?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on document review, the factory established the policy on freedom of association. Based on management interview, the management understood its requirements.</i></li> </ul>	2	2	2	100%
H2	<p>Are employees' rights of freedom of association ensured as required by law?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on management and workers interview, workers had the right to form or join workers' associations freely without any restriction.</i></li> </ul>	2	2	2	100%
H3	<p>Does the factory allow/permit workers to elect representatives from their own group to facilitate communication with senior management?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory allowed workers to elect representatives from their own group.</i></li> </ul>	2	2	2	100%
H4	<p>Do workers have access to and are they familiar with procedures for filing complaints about their concerns?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on workers interview, workers could voice their concerns to supervisors directly.</i></li> </ul>	2	2	2	100%
H5	<p>For a non-unionized factory, are fair and effective mechanisms in place to address the concerns of workers?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Workers could communicate with supervisor or worker representatives directly, or report issues through suggestion box.</i></li> </ul>	2	2	2	100%
<b>Totals</b>			<b>10</b>	<b>10</b>	<b>100%</b>

## Social Checklist: SECTION I. Environmental Protection

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
I1	<p>Does the factory have all permits and licenses required by national/local laws or regulations for waste disposal?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on document review, the factory obtained the permits and licenses required by local law for waste disposal.</i></li> </ul>	ACCP	0	0	N/A
I2	<p>Does the factory have a current environmental management system?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on document review and management interview, the factory had a environmental management system.</i></li> </ul>	2	2	2	100%
I3	<p>Does the factory provide environmental awareness training to each level of management and all workers?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on the interview with management and workers, documents review, employees would be trained for environmental protection when they were recruited. Also the regular training was conducted for management and all workers.</i></li> </ul>	2	2	2	100%
I4	<p>Can any kind of substantial pollution be observed throughout the facility?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on onsite observation, only life waste water were identified in the factory during the audit day.</i></li> </ul>	2	2	2	100%
I5	<p>Does the factory properly treat waste water and waste air before releasing?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on document review and management interview, waster water of factory was released to sewage pipe network and handled by local environment department, it was acceptable.</i></li> </ul>	2	2	2	100%
I6	<p>Does the factory have a program to segregate, store, and dispose of hazardous and non-hazardous waste?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory had a program to segregate, store, and dispose of hazardous and non-hazardous waste.</i></li> </ul>	2	2	2	100%
I7	<p>Does the factory implement any programs on "Reduce, Reuse, and Recycle"?</p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>Based on document review, the factory had implement programs on reuse, reduce and recycle.</i></li> </ul>	2	2	2	100%
I8	<p>Have there been any notices of environmental deficiencies issued against the factory by government agencies in the past year?</p> <p><b>Comments</b></p>	2	2	2	100%

- *Comments*
- *Based on management interview and document review, no any notice of environmental deficiencies was issued against the factory by government agencies in the past year.*

<b>Totals</b>			<b>14</b>	<b>14</b>	<b>100%</b>
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### Social Checklist: SECTION J. Ethics

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
J1	<p><b>Was there any bribery case identified during the audit?</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory did not offer any bribery case during the audit time.</i></li> </ul>	ACCP	0	0	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

### Social Checklist: SECTION K. Sub-Contracting

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
K1	<p><b>Does the factory provide subcontractor information (if applicable)?</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory did not use subcontractor.</i></li> </ul>	N/A	N/A	N/A	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

### Social Checklist: SECTION L. Monitoring of Compliance

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
L1	<p><b>Does the auditor have access to the entire facility, all relevant areas, and required audit documents/processes?</b></p> <p><b>Comments</b></p> <ul style="list-style-type: none"> <li>• <i>Comments</i></li> <li>• <i>The factory allowed auditor to access all relevant areas and required audit documents/processes.</i></li> </ul>	ACCP	0	0	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

### Social Checklist: SECTION M. Conflict Minerals

Question ID	Question	Answer	Points Earned Current	Total Points Possible	Percentage
M1	Does factory have a conflict free or responsible sourcing policy?	No	N/A	N/A	N/A
M2	Did auditor see a copy of the conflict free or responsible sourcing policy?	No	N/A	N/A	N/A
M3	Did auditor obtain a copy of the conflict free or responsible sourcing policy?	No	N/A	N/A	N/A
<b>Totals</b>			<b>N/A</b>	<b>N/A</b>	<b>N/A</b>

#### Auditor Signature

Signed From Web Auditor

**Client Signature**

Signed From Web Auditor