



AUDIT QUESTIONNAIRE - CONFIDENTIAL

Rev. 26 - 2018

COUNTRY	China	AUDITED FACTORY	XIANGSHAN ZHENGTAI ELECTRICAL APPLIANCE CO., LTD 象台正泰电器有限公司
AUDIT DATE : FIRST DAY Date format required : DD/MM/YYYY	21/11/2018	AUDIT COMPANY	SGS
AUDIT DATE : LAST DAY Date format required : DD/MM/YYYY	21/11/2018	REFERENCE	JSASCN18361417
NUMBER OF MANDAY	1MD	ICS MEMBER	CARREFOUR

SUPPLIER	Ningbo Jiangdong Cheng You Imp&Exp Co., Ltd		
FACTORY (audited)	XIANGSHAN ZHENGTAI ELECTRICAL APPLIANCE CO., LTD 象台正泰电器有限公司	Tier supplier level	1
Address	No. 593 Wanlong Road, Chengdong Industrial Zone, Xiangshan County Industrial Area, Zhejiang, China 浙江省象山县产业园区城东北工业园万隆路593号		
City / Country	Ningbo	China	
Contact name / function	Mr. Cheng Hui	Sales Manager	
Tel / mobile / fax	0086-574-25758628	0086-574-25758628	0086-574-25758655
Email	chenghui@yecon.com		
Business licence (only the number is required without any comment)	9133022514501186XL		
Products Category	Electronic products	Activity	Raw material - Crushing- Assembly- Packing
Number of employees	37	Number of employees interviewed	8
Significant difference from Factory Profile ?	YES	Percentage of gap	15%
Previous ICS audit	NO	Date / ICS member Date format required : DD/MM/YYYY	NA

ICS MEMBER (ordering the audit)			
Name	CARREFOUR		
Company identification (Please specify)		Subsidiary	
Contact			
Tel / fax			
Mobile			
Email			

AUDIT CONDUCTED			
Auditor(s) name(s) and position (specify if auditor(s) is auditor or lead auditor(s) or specify any other position Example : NameXX/Auditor NameYY/Lead Auditor	Kevin Shen/Lead Auditor	Status	All employee team
Please comment if any other people or team has been involved in the audit (if a translator worked during or after the audit, please add relevant information)	NO	Name and function of people involved in the audit (except auditors)	NA
Status of extra people following auditors team / Comments	All employee team	Main auditor's country of origin	China
General comment about the team conducting the audit (if any)	NA		
Time of arrival on site (first day) / Closing meeting start time / Time of departure (last day)	6:50AM/16:35PM/16:50PM	Type of audit	REAUDIT
Name and position of persons attending the Opening meeting	Yu Haiya/Admin Ma Jin Aizhu/Employee representative		
Name and position of persons attending the Closing meeting	Yu Haiya/Admin Ma Jin Aizhu/Employee representative		
Factory agreed with the Corrective Action Plan	YES	Subtype of audit (Unannounced / Semi-announced / Announced)	Unannounced
Access Denied / Reason given by factory (full comment in Narrative Summary)	NO		
Alert Notification	NO		

AN	AUDIT SUMMARY	Rating		Best Practices	Rating of Previous Audit
		%	Code		
NO	0. Management System, Transparency and Traceability	94%	B		
NO	1. Minimum age, Child labour and Young workers	100%	A		Go to Chap.1
NO	2. Forced labour	100%	A		Go to Chap.2
NO	3. Discrimination	100%	A		Go to Chap.3
NO	4. Disciplinary Practices, Harassment and Abuse	100%	A		Go to Chap.4
NO	5. Freedom of association and Grievance Mechanisms	100%	A		Go to Chap.5
NO	6. Working hours and Overtime	44%	D		Go to Chap.6
NO	7. Remuneration and Benefits	87%	B		Go to Chap.7
NO	8. Health and Safety	92%	B		Go to Chap.8
RATING (Automatic calculation)		91%	B		

Go to rating summary	0. MANAGEMENT SYSTEM, TRANSPARENCY AND TRACEABILITY	Alert Notification	NO
	Rating %	94%	Rating code
			B

Information on the facility	
X	Has the facility undergone inspections by local authorities on labour and health & safety related issues in the past 12 months? The factory did not undergo inspections by local authorities.

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Compliance questions				Comments	Recommended corrective actions
Management system, Transparency and Traceability					
0.1 Critical AN	Have all of the reviewed documents been found free from any manipulation or falsification?	YES	B	The factory provided the required documents for review, and all reviewed documents were found free from manipulation and falsification.	
0.2 Not rated	Does the information in the Factory Profile match the information reviewed during the audit?	NO		Cross-checked the information provided in the facility profile with the actual situation at the facility. Some discrepancies were identified, such as number of employees etc. The number in the profile provided by the factory was 45, but the actual number during the audit was 37.	
0.3	Have requested documents been provided for review?	Partially	C	Finding -The factory didn't provide partial required documents, based on document review and management interview, it was noted the factory didn't provide the occupational health examination report of workers such as crushing workers, and didn't provide monitoring report of occupational hazard factors. It violated ICS checklist 0.3	The factory should obtain and provide the required documents.
0.4	Has the facility established policies in the areas of child labour, forced labour, discrimination, disciplinary practices, harassment, abuse, freedom of association, work hours and overtime, remuneration and benefits, health and safety and anti-bribery?	YES	B	Based on documents review, the policies in all the mentioned areas were established in the factory.	
0.5	Are legally required labour-related notices posted in language(s) understood by concerned employees?	YES	B	Factory rules were posted onsite, and they also communicated to all workers by training.	
0.6	Does the facility have a documented system to annually review and modify facility's policies?	YES	B	Based on documents review and managements interview, the factory would review and modify the policies annually and based on the clients' requirements.	
0.7	Does the facility train employees and contractors on the facility's policies and legal requirements in the areas of labour and health and safety?	YES	B	All workers would be trained before entering the position or annually on the facility's policies and legal requirements in the area of labour and health and safety.	
0.8	Does the facility have management personnel to implement the facility's policies and legal requirements in the areas of labour and health and safety?	YES	B	Ms. Yu Haiya/ Admin Manager was responsible for implementing the policies.	
0.9	Have requested documents been found valid?	YES	B	Based on document review, all requested documents provided were valid.	
Hiring and Termination				Comments	Recommended corrective actions
0.10 Critical	Are employees aware of their employment terms ?	YES	B	Confirmed by workers interview, the employees were aware of their employment terms.	
0.11 Critical	Does the facility provide employees with a written document that outlines the employment terms including occupational health and safety information in accordance with local law?	YES	B	Based on the labor contracts review, relevant terms were included in the contracts, and based on workers interview, all of them were provided the copy of contracts.	
0.12 Critical	Is the written document that outlines the employment terms in a language understood by each respective employee?	YES	B	Based on the labor contracts review, relevant terms were included in the contracts, and based on workers interview, all of them were provided with the copy of contracts.	
0.13	Are employees classified (e.g. apprentices, independent contractors, temporary workers) in accordance with local law?	YES	B	No such workers were employed in the factory.	
0.14	Are employee probation periods in accordance with local law?	YES	B	Based on workers interview, most workers said no probation periods was available, and it was acceptable.	
0.15	Does the facility maintain documentation that indicates employees' eligibility to work in accordance with local law?	YES	B	The factory maintained documentation that indicates employees' eligibility to work in accordance with local law, such as the ID copies and personal files etc.	
0.16	Is termination of employment executed in accordance with local law?	YES	B	Based on documents interview and workers interview, all of them could resign normally.	
0.17	Does the facility maintain termination records?	YES	B	Based on documents review, termination records such as payrolls, letter of resignation were available.	
Supply Chain				Comments	Recommended corrective actions
0.18 Not rated	Does the facility use back-up and/or processes subcontractors?	NO		Based on the onsite observation and management interview, the factory had no sub-contracted.	
0.19 Critical	Are the statements made by the factory in the "Products and the production processes" of the factory profile accurate and visible by the auditor during the factory tour?	YES	B	Based on the onsite observation and management interview, the factory had no sub-contracted.	
0.20 Not rated	Are applicable standards (e.g. legal, ICS Code of Conduct) communicated to facility's suppliers, subcontractors and contractors?	YES		Based on the management interview, the factory communicated applicable legal standards to main suppliers.	
0.21 Not rated	Does the facility use homeworkers?	NO		No homeworkers were used in the factory.	
0.26 Not rated	Does the facility use migrant workers?	NO		Only employees came from other province, they were from Yunnan, Sichuan etc.	

Best practice observations		YES/NO		Comments
0.28 Best Practice	...	NO	NA	
0.29 Best Practice	...	NO	NA	

MANAGEMENT SYSTEM, TRANSPARENCY AND TRACEABILITY Comments : Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.

Nil

[Go to rating summary](#)

1. MINIMUM AGE, CHILD LABOUR AND YOUNG WORKERS		Alert Notification	NO
Rating %	100%	Rating code	A

Information on local laws		
X	Minimum legal work age:	Labor Law of the People's Republic of China (1994), Article 15 No employing units shall be allowed to recruit juveniles under the age of 16.
X	Legal requirements on working conditions (e.g. type of work, tasks, working hours) for young workers (under the age of 18):	Law of the People's Republic of China on the Protection of Minors (2012 Amendment), Article 28 No organization or individual may hire any minor under the age of sixteen, except as otherwise provided by the State. Any organization or individual that recruits according to relevant regulations of the State minors over the age of sixteen but under eighteen shall, in respect of the types of jobs, duration of time and intensity of labor as well as protective measures, follow the relevant regulations of the State and may not assign them to any over strenuous, poisonous or harmful labor or any dangerous operation.
Information on the facility		
X	Facility's minimum hiring age:	The youngest worker was 18 years old, born on Feb 28, 2000 and joined the factory on Aug 13, 2018.
X	Are there any young workers in the facility ?	NO

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Compliance questions - MINIMUM AGE, CHILD LABOUR AND YOUNG WORKERS				Comments	Recommended corrective actions
1.1 Critical AN	Does the facility currently employ only workers above the age of 15 or the legal working age?	YES	B	Based on reviewing the personal files, site observation and workers interview, no child labour was identified during the audit.	
1.2 Critical	Does the facility only employ workers which were above the age of 15 or the legal working age at the time of hire?	YES	B	Based on reviewing the personal files, onsite observation and workers interview, no child labour was identified during the audit.	
1.3	Is the facility free from non-working children (under the age of 15 or legal working age)?	YES	B	Based on onsite observation, no children was found in the factory.	
1.5	Does the facility request legal documentation to verify employee's age at the time of hire?	YES	B	The factory would check original ID card of all workers and then give back to workers within one day.	
1.6	Does the facility keep copies of age documentation?	YES	B	Based on documents review, it was found that the factory maintained employees' age information properly such as: ID copies.	
1.7	Are identified apprenticeship / traineeship programs in accordance with local law?	NA	NA	Based on workers interview and management interview, no apprentices and trainees were identified in the factory during the audit.	

Best practice observations		YES/NO		Comments
1.11 Best Practice	...	NO	NA	
1.12 Best Practice	...	NO	NA	

MINIMUM AGE, CHILD LABOUR AND YOUNG WORKERS : Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.

Nil

[Go to rating summary](#)

2. FORCED LABOUR	Alert Notification	NO
Rating %	100%	Rating code
		A

Compliance questions - Forced Labour				Comments	Recommended corrective actions
2.1 Critical AN	Is there objective evidence that facility does not retain any document (e.g. passport, work permit, birth certification, official ID card, driver's licence) without written agreement and without the possibility to recover them?	YES	B	Based on workers interview, factory didn't retain any documents such as passport, ID card etc.	
2.2 Critical AN	Does the facility avoid withholding wages during the employment relationship?	YES	B	Based on workers interview, no deposit was identified.	
2.3 Critical	Are employees free of any cost associated with worker recruitment and placement?	YES	B	Based on workers interview, all employees were free of debt due to recruitment and employment.	
2.4 Critical	Are employees guaranteed freedom of movement during working hours?	YES	B	The workers were allowed to toilet and drink water during working.	
2.5 Critical	Are employees guaranteed freedom of movement after working hours?	YES	B	The workers could leave the factory freely at the end of working shifts, which was confirmed by interview with workers.	
2.6 Critical	Are employees free from daily production quota requirements prior to leaving the facility?	YES	B	Based on workers interview and document review, workers were free to leave the factory.	
2.7 Critical	Is overtime voluntary?	YES	B	Overtime was voluntary based on workers interview.	
2.8 Critical	Are employees informed about and understand overtime obligations prior to employment and prior to working the overtime shift?	YES	B	Based on worker interview, they knew it well.	
2.9	Are employees free to resign from their current employment in accordance with local law?	YES	B	The employees could resign at their option and should apply in written application 30 days in advance.	
2.10	Is the facility free from any prisoner employment?	YES	B	No prisoner was used by the factory.	

Best practice observations		YES/NO		Comments
2.12 Best Practice	...	NO	NA	
2.13 Best Practice	...	NO	NA	

Forced Labour : Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.

Nil

[Go to rating summary](#)

3. DISCRIMINATION	Alert Notification	NO
Rating %	100%	Rating code
		A

Information on local laws	
X	<p>Legal requirements on women's employment during pregnancy, maternity leave and return from maternity leave:</p> <p>Law of the People's Republic of China on the Protection of Women's Rights and Interests (2005 Amendment), Article 24 Equal pay for equal work shall be applied to men and women alike. Women shall be equal with men in the enjoyment of welfare benefits.</p> <p>Labor Law of the People's Republic of China (1994), Article 13 Females shall enjoy equal rights as males in employment. It shall not be allowed, in the recruitment of staff and workers, to use sex as a pretext for excluding females from employment or to raise recruitment standards for the females, except for the types of work or posts that are not suitable for females as stipulated by the State.</p> <p>Law of the People's Republic of China on the Protection of Women's Rights and Interests (2005 Amendment), Article 23 It shall not be allowed, in the recruitment of staff and workers, to use sex as a pretext for excluding females from employment or to raise recruitment standards for the females, except for the types of work or posts that are not suitable for females.</p> <p>When unit employs the female employee, it shall sign a labor (employment) contract or service agreement with her. The labor (employment) contract or service agreement shall not contain restrictions on her matrimony and child-bearing.</p>

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AUDIT DATE : FIRST DAY Date format required : DD/MM/YYYY	21/11/2018	AUDIT COMPANY	SGS
AUDIT DATE : LAST DAY Date format required : DD/MM/YYYY	21/11/2018	REFERENCE	JSASCN18361417

Compliance questions- Discrimination				Comments	Recommended corrective actions
3.1 Critical AN	Are employees free from discrimination in terms of hiring, compensation, access to training, promotion, termination, or retirement?	YES	B	Based on onsite observation, documents review, workers and management interview, no discrimination was identified in the factory during the audit.	
3.2	Does the facility maintain procedures to prohibit and prevent discriminatory practices?	YES	B	Procedures about prohibiting and preventing discriminatory practices were established.	
3.3	Is hiring/recruitment process free from any discriminative tests (e.g. medical, aptitude) in accordance with local law?	YES	B	Based on document review, employees were hired without any discrimination; no any discrimination phenomena were identified including factory rules, recruitment advisements and regular health examination, etc. It was confirmed by interviewed workers.	
3.4 Critical	Do employees receive equal pay for equal work according to their respective experience and seniority?	YES	B	Workers were paid equally for same work in the factory.	
3.5	Are employees hired and maintained in employment regardless of pregnancy status?	YES	B	Based on workers interview and factory rules review, no evidence of disadvantage was identified.	
3.6	Does the facility follow provisions on women's employment terms during pregnancy, maternity leave and return from maternity leave in accordance with local law?	YES	B	Based on workers interview and factory rules review, no evidence of disadvantage was identified.	
3.7	Do employees have equal opportunities to work overtime in accordance with local law?	YES	B	Based on working hours records review, workers and management interview, overtime work arrangement was based on the production requirement, and mostly covered the whole workshop. There was nothing specific for individuals.	

Best practice observations		YES/NO		Comments
3.8 Best Practice	...	NO	NA	
3.9 Best Practice	...	NO	NA	

Discrimination : Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.

Nil

[Go to rating summary](#)

4. DISCIPLINARY PRACTICES, HARASSEMENT AND ABUSE		Alert Notification	NO
Rating %	100%	Rating code	A

Information on the facility		
X	What are the disciplinary measures and penalties imposed in the facility?	Based on document review and workers interview, it was noted that oral warning and educating/training were the disciplinary measures and penalties imposed in the facility.

Compliance questions - DISCIPLINARY PRACTICES, HARASSEMENT AND ABUSE				Comments	Recommended corrective actions
4.1 Critical AN	Are employees free from any form of harassment, mental, physical and/or verbal abuse, and corporal punishment?	YES	B	Based on onsite observation, documents review, workers and management interview, no evidence of corporal punishment, mental or physical coercion was identified during the audit.	
4.2 Critical AN	Are disciplinary measures implemented by the facility legal and non excessive?	YES	B	The workers would be orally warned, fired or be dismissed as per severity if factory rules were broken, and it was legally.	
4.3	Does the disciplinary procedure comply with local law?	YES	B	Based on documents review and workers interview, workers who violated the factory rules would receive oral warning, no fine penalty was identified in the disciplinary procedure, and the procedure was full legal. No negative evidence was identified during the audit.	
4.4	Does management staff receive training on implementing disciplinary procedures?	YES	B	Based on management interview and documents review, all management staffs were trained about the procedures.	
4.5	Does the facility keep records of implemented disciplinary actions?	YES	B	Based on management interview and documents review the records were available.	
4.6	Are facility's security practices non abusive?	YES	B	No negative evidence was found.	

Best practice observations		YES/NO		Comments
4.7 Best Practice	...	NO	NA	
4.8 Best Practice	...	NO	NA	

DISCIPLINARY PRACTICES, HARASSEMENT AND ABUSE : Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.

Nil

[Go to rating summary](#)

5. FREEDOM OF ASSOCIATION AND GRIEVANCE MECHANISMS		Alert Notification	NO
Rating %	100%	Rating code	A

Information on local laws		
X	Legal provisions on employees' rights to form / join independent labour unions and/or workers' associations:	Labor Law of the People's Republic of China (1994), Article 7 Laborers shall have the right to participate in and organize trade unions in accordance with law. Trade unions shall represent and safeguard the legitimate rights and interests of laborers, and stage activities independently in accordance with law. Trade Union Law of the People's Republic of China (2001 Amendment), Article 3 All laborers doing physical or mental work in enterprises, public institutions and government organs within Chinese territory who earn their living primarily from wages shall have the right to participate in and form trade union organizations pursuant to the law, regardless of their nationalities, races, sexes, occupations, religious beliefs or educations. No organization or individual may hinder them from doing so or restrict them.
X	Any specific legal requirements allowing the facility not to form trade unions / workers' organizations due to type and/or size of the facility:	The independent union was legally prohibited in Chinese factories.

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Information on the facility			
X	Are employees members of a trade union?	NO	
X	Are employees members of a workers' organization?	YES	
X	Is a representative from a workers' organization located at the facility?	A worker representative committee with 2 elected workers representatives was formed in the factory.	
X	Date of latest elections of workers' organization (Date format required : DD/MM/YYYY)	06/03/2018	
X	Has the facility had any public labour disputes (e.g. strike, demonstration) in the last 2 years?	No any public labour disputes occurred in the last 2 years.	
X	Are employees subject to a collective bargaining agreement?	No collective bargaining agreement was available in the factory.	

Compliance questions - FREEDOM OF ASSOCIATION AND GRIEVANCE MECHANISMS				Comments	Recommended corrective actions
5.1 Critical	Are employees free to associate and collectively bargain?	YES	B	Based on workers interview, they were aware of the right for collective bargaining of remuneration and work conditions. But no such collective bargaining occurred in the factory.	
5.2	Are employees free to form/join independent trade unions?	NA	NA	The independent union was legally prohibited in Chinese factories.	
5.3	Where the ability to associate and collectively bargain are legally restricted, do employees have access to alternative means?	YES	B	The factory had set the suggestion box in the factory.	
5.4	Are worker representatives elected without interference by the facility and as required by law?	YES	B	2 worker representative was elected in the factory.	
5.5	Are there regular meetings between worker representatives and management as required by law?	YES	B	The regular meeting between worker representative and management once per three months.	
5.6	Are the meetings' minutes recorded and communicated to the employees?	YES	B	The meeting records were provided for reviewing.	
5.7	Are employees free from discrimination on the basis of trade union affiliation or non-affiliation in terms of hiring, compensation, access to training, promotion, termination, or retirement ?	YES	B	Employees were free from discrimination on the basis of trade union affiliation or non-affiliation in terms of hiring, compensation, access to training, promotion, termination, or retirement.	
Grievance Mechanism				Comments	Recommended corrective actions
5.8	Does the facility have a procedure by which employees can freely and confidentially raise grievances to management?	YES	B	Based on workers interview, workers could address grievances to general manager above their direct superior by suggestion box.	
5.9	Does the facility record and track reported grievances?	YES	B	The factory recorded and track reported grievances regularly.	
5.10	Does the facility communicate the grievance review progress to employees and individuals responsible for reviewing reported grievances?	YES	B	The factory communicated the grievance review progress to employees and individuals responsible for reviewing reported grievances.	

Best practice observations	YES/NO		Comments
5.11 Best Practice	NO	NA	
5.12 Best Practice	NO	NA	

FREEDOM OF ASSOCIATION AND GRIEVANCE MECHANISMS: Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.

Nil

6. WORKING HOURS AND OVERTIME		Alert Notification	NO
Rating %	44%	Rating code	D

Information on local laws			
X	Regular working hours permitted under local law (day, week, month, other): (# hours)	Day : Week : Month : Other :	8 hours 40 hours No legal requirement Nil
X	Number of overtime hours (OT) permitted under local law (day, week, month, other): (# hours)	Day : Week : Month : Other :	3H No legal requirement 36H Nil
X	Legal requirements allowing to exceed the maximum number of working hours (e.g. during peak season): (# hours)	Regulations of the State Council on Hours of Work of Employees (1995 Amendment), Article 3 Employee shall work 8 hours per day, and 40 hours per week. Labor Law of the People's Republic of China (1994), Article 41 The employing unit may extend working hours due to the requirements of its production or business after consultation with the trade union and 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.	
X	What are the legal requirements for overtime waiver?	Labor Law of the People's Republic of China (1994), Article 39 Where an enterprise can not follow the stipulations in Article 36 and Article 38 of this Law due to its special production nature, it may adopt other rules on working hours and rest with the approval of the labor administrative department. Regulations on the Approval of Variable Hours of Work and Consolidated Hours of Work in Enterprises (1994), Article 5 To employees meeting one of the following conditions, enterprises may apply the system of consolidated hours of work; namely, their hours of work are calculated in clusters of hours worked during a week, a month, a season or a year. However, their average day and average-week hours of work should be basically the same as those adopting the normal system of hours of work: 1. Employees in the transport, railway, post and telecommunications, maritime, aviation, and fishing industries may be required by the nature of their job to work continuous hours; 2. Employees in such industries as geological and resource exploration, construction, salt manufacturing, sugar production and tourism whose work is regulated by seasonal and natural conditions more than anything else; 3. Other employees who are more suited to the system of consolidated hours of work.	
X	What are legal requirements for days off?	Labor Law of the People's Republic of China (1994), Article 38 The employing unit shall guarantee that its staff and workers have at least one day off in a week.	
X	What are legal requirements for rest breaks?	No rest breaks required by China local law.	
X	Maximum number of consecutive days worked permitted by law (# number)	6 days	

[Go to rating summary](#)

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Information on the facility				
X	Standard hours of operation of the facility (# hours)	8	Comment	All workers conduct 1 shift, 7:00-11:30, 12:30-16:30
X	Regular working hours per week at the facility (# hours)	40	Comment	5 days per week from Monday to Friday and 8 hours per day
X	Highest number of overtime hours per week worked at the facility (# hours)	14	Comment	Workers worked for 3 weekdays with 2 OT hours, and 8 OT hours on Saturday.
X	Highest number of overtime hours per week worked at the facility (peak season) (# hours)	14	Comment	No peak season
X	Average number of overtime hours per week worked at the facility (# hours)	12	Comment	Workers worked for 2 weekdays with 2 OT hours on average, and 8 OT hours on Saturday.
X	Average number of overtime hours per week worked at the facility (peak season) (# hours)	12	Comment	Workers worked for 2 weekday with 2 OT hours on average, and 8 OT hours on Saturday.
X	Number and duration of breaks during work day (# number / # duration)	1h	Comment	11:30-12:30
X	Sample size used (please detail months and relevant information, for instance peak/low seasons)	8 workers' attendance records	Comment	From Oct 1, 2017 to Nov 21, 2018
X	Maximum number of consecutive days worked at the facility (# number)	6	Comment	Workers worked from Monday to Friday and had overtime on Saturday.

Compliance questions - WORKING HOURS AND OVERTIME				Comments	Recommended corrective actions
6.1 Critical	Are employees working regular working hours (daily, weekly, monthly, other) in accordance with local law ?	YES	B	Based on factory rule review and workers interview, the regular working hour schedule was 8 hours per day, 40 hours per week, which met with local legal requirements.	
6.2	Are employees working regular hours in compliance with ILO standards ?	YES	B	Based on documents review and workers interview, the maximum regular working hours per week in the factory was 40 hours, it was in line with the legal requirement.	
6.3	Does the facility maintain time records (e.g. time cards)?	YES	B	The factory recorded workers' working time by electronic system. The factory provided workers' attendance records from Oct 1, 2017 to Nov 21, 2018 for review during the audit.	
6.4	Are time records accurate?	YES	B	It was cross checking by production records, workers interview and working hours records.	
6.5	Are overtime hours tracked separately?	YES	B	Overtime hours were tracked separately.	
6.6 Critical	Are employees working overtime hours (daily, weekly, monthly, other) in accordance with local law?	NO	D	Finding: Based on attendance records from Oct 1, 2017 to the audit day, all samples showed that the workers' monthly OT exceeded 36 hours, the Max monthly OT was 52 hours in Mar 2018. It violated Labor Law of the People's Republic of China (1994), Article 41 The employing unit may extend working hours due to the requirements of its production or business after consultation with the trade union and 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.	The factory should ensure workers' overtime hours in accordance with the legal requirements.
6.7	Are employees working overtime in compliance with ILO standards?	NO	D	Finding: Based on attendance records from Oct 1, 2017 to the audit day provided by the factory, the Max weekly OT was 14 hours, it exceeded the ILO requirements. It violated ICS requirement.	The factory should make sure the weekly OT be in comply with ILO requirement.
6.8 Not raised	Does the facility have an overtime waiver?	NO		No overtime waiver was obtained by the factory.	
6.11 Critical	Do employees receive rest breaks during the day in accordance with local law?	YES	B	Based on workers and management interview, the meal break was 1 hour and the workers were allowed personal break at anytime, such as going to toilet or having drinking water.	
6.12 Critical	Do employees receive at least 1 day off (24 consecutive hours) within 7 days period?	YES	B	The maximum consecutive work days of workers were 6 days based on attendance records review.	

Best practice observations		YES/NO		Comments
6.13 Best Practice	...	NO	NA	
6.14 Best Practice	...	NO	NA	

Working hours and overtime : Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.

Nil

[Go to rating summary](#)

7. REMUNERATION AND BENEFITS		Alert Notification	NO
Rating %	87%	Rating code	B

COUNTRY	China	AUDITED FACTORY	XIANGSHAN ZHENGTAI ELECTRICAL APPLIANCE CO., LTD 正泰电器有限公司
AUDIT DATE : FIRST DAY Date format required : DD/MM/YYYY	21/11/2018	AUDIT COMPANY	SGS
AUDIT DATE : LAST DAY Date format required : DD/MM/YYYY	21/11/2018	REFERENCE	JSASCN18361417

Information on local laws					
		Skilled employees	Unskilled employees	Apprentices / trainees	Employees during probation time
X	Minimum legal wage for regular working hours (day, week, month, other) applicable to the facility: - Skilled employees - Unskilled employees - Apprentices / trainees - Employees during probation time	Day: RMB 76.5 per day since 1/11/2015 Month: RMB 82/ per day since 2017/12/1 Week: RMB382.5 per week since 1/11/2015 Week: RMB 415/ per week since 2017/12/1 Month: RMB 1530 per month since 1/11/2015 Month: RMB 1660/ per month since 2017/12/1 Other: Nil	Day: RMB 76.5 per day since 1/11/2015 Month: RMB 82/ per day since 2017/12/1 Week: RMB382.5 per week since 1/11/2015 Week: RMB 415/ per week since 2017/12/1 Month: RMB 1530 per month since 1/11/2015 Month: RMB 1660/ per month since 2017/12/1 Other: Nil	Day: NA Week: NA NA Other: Nil	Day: RMB 76.5 per day since 1/11/2015 Month: RMB 82/ per day since 2017/12/1 Week: RMB382.5 per week since 1/11/2015 Week: RMB 415/ per week since 2017/12/1 Month: RMB 1530 per month since 1/11/2015 Month: RMB 1660/ per month since 2017/12/1 Other: Nil
X	Minimum legal overtime wage (day, week, month, other)	Day: Weekdays: 150% of normal wage; Rest days: 200% of normal wage; Statutory holidays: 300% of normal wage. Week: Weekdays: 150% of normal wage; Rest days: 200% of normal wage; Statutory holidays: 300% of normal wage. Month: Weekdays: 150% of normal wage; Rest days: 200% of normal wage; Statutory holidays: 300% of normal wage. Other: Nil			
X	What types of benefits and insurance do employees receive in accordance with local law?	Labor Law of the People's Republic of China (1994), 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; and 5. Child-bearing.			
X	Legal requirements for remuneration of public holidays:	Labor Law of the People's Republic of China (1994), Article 51 The employing unit shall pay wages according to law to laborers who observe statutory holidays, take leaves during the periods of marriage or funeral, or participate in social activities in accordance with the law. Regulation on Public Holidays for National Annual Festivals and Memorial Days (Jan. 1, 2014 Implement), Article 2 Festivals having a holiday for all citizens: 1. having a one-day holiday for New Year (January 1st); 2. having a three-day holiday for Spring Festival (the New Year's Day of the lunar year, the second day and the third day of the first month of the lunar year); 3. having a one-day holiday for Tomb-sweeping Festival (the lunar Tomb-sweeping Day); 4. having a one-day holiday for Labor Day (May 1st); 5. having a one-day holiday for Dragon Boat Festival (the lunar Dragon Boat Day); 6. having a one-day holiday for Mid-Autumn Festival (the lunar Mid-Autumn Day); and 7. having a three-day holiday for National Day (October 1st, 2nd, 3rd).			
X	Legal requirements for remuneration of annual leave:	Regulations on Paid Annual Leave for Employees (2007), Article 3 Where an employee has served one full year but less than 10 years accumulatively, he is entitled to five days of annual leave. If he has served 10 full years but less than 20 years, annual leave is 10 days. If he has served for 20 full years, annual leave is 15 days. Statutory holidays and rest days shall not be included in the annual leave. Implementation Measures of Paid Annual Leave for Employees of Enterprises (2008), Article 3. Employees who have worked for 12 consecutive months are entitled to paid annual leave (hereinafter referred to as "annual leave"). 5. When a new employee meets the requirement of Article 3 of the Measures, the number of annual leave days for the current year shall be calculated according to the number of calendar days remaining for the year since the start date of the employment, the employee shall not be entitled to the part of annual leave that calculation result is less than one full day. The aforementioned calculation is as follows: (The number of calendar days remaining for the year since the start date of the employment / 365 days) x The number of annual leave days entitled to the employee. 14. Employees of the labor dispatching entity who meet the requirement of Article 3 of the Measures are entitled to annual leave.			
Information on the facility					
X	How does the facility calculate time based wages?	Workers' wages are calculated on hourly rate. At least RMB 10.92 per hour since Oct 2017 was paid to workers for their regular working hours, which met the local minimum wage standard.			
X	How does the facility calculate piece rate based wages?	NA. All workers were paid by hourly rate wages.			
X	What is the method of recording production output?	NA. All workers were paid by hourly rate wages.			
X	Highest regular hourly rate paid by the facility: - Skilled employees - Unskilled employees	RMB13 per hour			
X	Lowest regular hourly rate paid by the facility: - Skilled employees - Unskilled employees	RMB10.92 per hour			
X	Sample size used (please detail months and relevant information, for instance peak/low seasons)	8 workers' payroll from Oct 2017 to Sep 2018			
X	How are homeworkers paid (if applicable)?	NA. No homemaker in the factory.			
Compliance questions					
REMUNERATION AND BENEFITS			Comments		Recommended corrective actions
7.1 Critical AN	Is the legal minimum wage guaranteed to employees in accordance with local law?	YES	B	Based on review of payroll records from Oct 2017 to Sep 2018, the workers' wages are calculated on hourly rate. At least RMB 10.92 per hour since Oct 2017 was paid to workers for their regular working hours, which met the local minimum wage standard.	
7.2	Does the facility maintain payroll records?	YES	B	The factory had provided the payroll records from Oct 2017 to Sep 2018.	
7.3	Are payroll records maintained in accordance with local law?	YES	B	Based on document review, it was acceptable.	
7.4	Is the payment method in accordance with local law?	YES	B	All workers were paid by cash at the end of next month and wage slips were provided to them for details.	
7.5 Critical	Is the time and frequency of payment in accordance with local law?	YES	B	All workers were paid by cash at the end of next month and wage slips were provided to them for details.	
7.6 Critical	Are apprentices / trainees paid wages in accordance with local law?	NA	NA	No apprentice or trainee in the factory.	
7.7 Critical	Are new employees during probation period paid wages in accordance with local law?	NA	NA	No probation period was available in the factory.	
7.8	Does the facility provide employees (for all workers including contractors) with an understandable wage slips that, at minimum, include regular and overtime hours worked, regular and overtime pay, and deductions in accordance with local law?	YES	B	The factory provided wage slips to workers and confirmed by workers. The information in wage slip included working hours, general informations confirmed by workers interview.	
7.9	Are employees paid for "down time" in accordance with local law?	YES	B	Based on payrolls review, employees were paid for "down time" in accordance with local law.	
7.10	Does the facility maintain production records if piece rate present?	NA	NA	All workers were paid by hourly rate wages.	

COUNTRY	China	AUDITED FACTORY	XIANGSHAN ZHENGTAI ELECTRICAL APPLIANCE CO., LTD 香山正泰电器有限公司
AUDIT DATE : FIRST DAY Date format required : DD/MM/YYYY	21/11/2018	AUDIT COMPANY	SGS
AUDIT DATE : LAST DAY Date format required : DD/MM/YYYY	21/11/2018	REFERENCE	JSASCN18361417

Overtime remuneration				Comments	Recommended corrective actions
7.11 Critical AN	Is overtime paid?	YES	B	The factory had provided the attendance records from Oct 1, 2017 to Nov 21, 2018 and payrolls from Oct 2017 to Sep 2018 of all sampled workers during the audit. And based on the payroll review, all workers' overtime wages were paid as legal requirements, 150% and 200% of normal wages were provided when overtime working on weekdays and weekends respectively.	
7.12 Critical	Is overtime paid at a legal premium rate?	YES	B	The factory had provided the attendance records from Oct 1, 2017 to Nov 21, 2018 and payrolls from Oct 2017 to Sep 2018 of all sampled workers during the audit. And based on the payroll review, all workers' overtime wages were paid as legal requirements, 150% and 200% of normal wages were provided when overtime working on weekdays and weekends respectively.	
7.13 Critical	Is overtime paid for piece rate workers and for identified classification of employees or contractors?	NA	NA	All workers were paid by hourly rate.	
7.14 Critical	Is overtime paid for piece rate workers and for identified classification of employees or contractors at a legal premium rate?	NA	NA	All workers were paid by hourly rate.	
Benefits				Comments	Recommended corrective actions
7.15	Do employees receive benefits (e.g. parental leave, annual leave) in accordance with local law?	YES	B	The factory provided the parental leave, annual leaves and etc to workers in accordance with local law.	
7.16	Are workers covered by the legal social insurances?	NO	D	<p>Finding: The factory did not provide social insurance to all workers. Based on document review, there were 37 workers in the factory, the factory only provided social insurance to 14 workers. The factory provided business accident insurance for other workers.</p> <p>It violated Labor Law of the People's Republic of China (1994), 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.</p> <p>Article 73. Laborers shall, in accordance with the law, enjoy social insurance benefits under the following circumstances:</p> <ol style="list-style-type: none"> 1. Retirement; 2. Illness or injury; 3. Disability caused by work-related injury or occupational disease; 4. Unemployment; and (5) child-bearing. 	The factory should provide social insurance to all workers.
7.18	Are public holidays paid in accordance with local law?	YES	B	Based on payrolls provided by the factory and workers interview, the holidays paid as per the local law.	
7.19	Is maternity leave paid in accordance with local law?	YES	B	Based on factory policy & payrolls review and worker interview, the factory established the maternity leave policy according to the local law, and relevant records were provided for review.	
7.20	Do employees receive additional remuneration (e.g., bonuses, incentives, allowances) in accordance with local law?	YES	B	Workers had received perfect attendance bonus, service year bonus and food / housing allowance per month. But no such legal requirement in China.	
Deductions				Comments	Recommended corrective actions
7.21	Are deductions in compliance with local law ?	YES	B	Based on workers interview, all deductions were in accordance with local law, such as social insurance.	

Best practice observations				Comments
7.22 Best Practice	...	NO	NA	
7.23 Best Practice	...	NO	NA	

<p>Remuneration and benefits : Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.</p>	
Nil	

Go to rating summary	8. HEALTH AND SAFETY	Alert Notification	NO
	Rating %	92%	Rating code

Information on local laws			
X	Which local regulations were referenced during the assessment of the following health and safety categories?	<p>Code of Design on Building Fire Protection and Prevention (GB50016-2006), Article 11.3.4 Light evacuation indicating sign shall be installed along the exit passageway of public building, high-rise factory building (storage) and class A, B, C factory building and shall be installed at the place right over the exit and the evacuation door of the public assembly places. It also shall meet the following requirements: 1. "EXIT" shall be installed at the place right over the exit and evacuation door as indicating sign; 2. The spacing of the indicating signs shall not be over 20m. For pocket-shaped passageway, the spacing shall not be over 10m. At the corner of the passageway, the spacing shall not be over 1.0m.</p> <p>Code of Design on Building Fire Protection and Prevention (GB50016-2006), Article 11.3.1 The following portions of the civil building (other than residential building), factory building and class C storage shall be provided with emergency lighting fixtures: 1. Enclosed staircase, smoke proof staircase and its lobby, the lobby or combined lobby of fire lift shaft. 2. Fire control room, fire pump room, standby electric generator room, electricity distribution room, smoke control and exhaust fan room as well as the other rooms that must be in normal operation in case of fire. 3. Exhibition hall, business hall, multi-functional hall, dining hall with building area over 400 S.Q.meters, studio with building area over 200 S.Q.meters, and auditorium. 4. The common activity space with building area over 300 S.Q.meters of the underground, semi-underground building or basement and semi-basement. 5. The evacuation passageway of public building. General Guide for Safety of Electric User (GB/T 13869-2008) 6.7 The electrical wiring of electrical products shall be of sufficient insulation strength, mechanical strength, and the ability to conduct electricity of electrical wiring. They shall be checked periodically. 6.8 The copper core rubber-sheathed flexible cable or cord shall be used as power cord on the movable electrical product. The power cord should be protected from breaking or damaging when moving. 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. Regulations on Safety in Workplaces Where Chemicals Are Used. Article 12. The chemicals used by the employing units shall have the labels, and the dangerous chemicals should be attached with safety labels. Also, the safety and technical instructions of the chemicals shall be available for operators engaged in the use of the chemical.</p>	
X	Health and safety documentation (licenses, permits, certifications, reports of inspections)	<p>Building construction inspection registration / fire safety certificate / first aider certificate / annual inspection report of elevator / electrician certificate / safety administrator certificate for elevator</p>	
X	Building structure	<p>Construction Law of the People's Republic of China (2011 Amendment), Article 61 A construction project may only be handed over for use without going through the acceptance checks or passing the acceptance checks.</p>	

	COUNTRY	China	AUDITED FACTORY	XIANGSHAN ZHENGTAI ELECTRICAL APPLIANCE CO., LTD 香山正泰电器有限公司
	AUDIT DATE : FIRST DAY Date format required : DD/MM/YYYY	21/11/2018	AUDIT COMPANY	SGS
	AUDIT DATE : LAST DAY Date format required : DD/MM/YYYY	21/11/2018	REFERENCE	JSASCN18361417
X	Facility management and trainings	Labor Law of the People's Republic of China (1994), Article 52 The employing unit must establish and perfect the system for occupational safety and health, strictly implement the rules and standards of the State on occupational safety and health, educate laborers on occupational safety and health, prevent accidents in the process of work, and reduce occupational hazards.		
X	Accident and emergency plans and procedures	Hygienic Standards for the Design of Industrial Enterprises (GBZ 1-2010), Article 8.1 The design of manpower quota of the industrial enterprises producing or using toxic substances where acute occupational injuries may occur shall include establishment and manpower quota of first-aid organization (station).		
X	Fire safety (emergency paths and exits, fire equipment)	Fire Prevention Law of the People's Republic of China (2008), Article 16 Organs, social groups, enterprises, public institutions and other entities shall perform the following fire safety duties: 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; 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; 3. to make a thorough overhaul of the fire protection facilities in a building at least once a year so as to ensure that they are in good condition and effective, and archive complete and accurate overhaul records for future reference; 4. to ensure that the evacuation passages, safety exits and fire truck passages are clear and the fire and smoke compartmentation and fire separation distance meet the relevant fire protection technical standards; 5. to organize fire prevention inspections so as to eliminate potential fire risks; 6. to organize pertinent fire prevention drillings; and 7. to perform other fire safety duties as prescribed by laws and regulations. The major person in charge of an entity shall be the person responsible for the entity's fire safety.		
X	Electrical equipment	General Guide for Safety of Electric User (GB/T 13869-2008) 6.7 The electrical wiring of electrical products shall be of sufficient insulation strength, mechanical strength, and the ability to conduct electricity of electrical wiring. They shall be checked periodically. 6.8 The copper core rubber-sheathed flexible cable or cord shall be used as power cord on the movable electrical product. The power cord should be protected from breaking or damaging when moving.		
Information on the facility				
X	Which documents did the facility provide as proof of compliance with health and safety regulations (licenses, permits, certifications, reports of inspection)?	Building construction inspection registration / first aider certificate / annual inspection report of elevator / electrician certificate etc.		
X	What are the general conditions of the facility? Please comment.	Acceptable Comment : Based on the onsite observation, the facility maintained clean, well ventilated, and the production lines were arranged reasonable.		
X	What are the general conditions in the factory regarding the floors, the noise, the temperature and the air pollution levels observed at the facility? Please comment.	The noise, temperature and air were appropriate.		
X	Has the facility participated in a fire safety program in the past 12 months?	The factory had a plan about fire safety program, such as fire drill, training and conducting meeting.		
X	Has the facility undergone health and safety inspections by local authorities in the past 12 months?	Yes, based on factory management, the fire safety had inspected the factory, and no negative issues were found.		
X	What is the type of building? Is the assessed facility in a shared building? If so what other activities are present per floor of the building and which floor does the assessed facility occupy? Please refer to the guideline of this question.	No		
X	Is there a food preparation and/or canteen facility on the facility premises?	No canteen was provided in the factory.		
X	Which hazardous, flammable or combustible materials are reported or observed to be used and/or stored at the assessed facility?	Yes, factory had detail chemical list.		
X	Is there satisfactory evidence that the facility provision of transportation to workers is safe and complies with national regulations?	NA. The factory did not provide transportation for workers.		
X	Is there satisfactory evidence that the location of the social facilities or housing was chosen to ensure users are not exposed to natural hazards or affected by the operational impacts of the worksite (for example noise, emissions or dust)?	No negative evidence was identified during the audit.		
X	(Information regarding dormitories are summarized in next sub-section)	Nil		
X	Is there any dormitory present in the facility (if Yes, please complete dedicated section)?	NO		

Compliance questions - HEALTH AND SAFETY				
Building Structure			Comments	Recommended corrective actions
8.1 Critical	Does the facility have non-expired documentation of compliance with building safety requirements issued by local authority?	YES	B	Date of building's construction:26/04/2013 Province: Zhejiang Auditor's comments: The factory had obtained the Building Structure Safety Certificates for all buildings.
8.2 Critical	Does the facility have non-expired fire safety documentation issued by the local fire authority?	YES	B	It was acceptable based on document review.
8.3 Critical	Does the facility operate in a building matching the authorized purpose?	YES	B	Date of building's construction:26/04/2013 Province: Zhejiang Auditor's comments: The factory had obtained the Building Structure Safety Certificates for all buildings.
8.4 Critical	Does the number of floors in the existing building match with the original number of floors on the building plan or certificate?	YES	B	No negative evidence was observed.
8.5 Critical	Does the facility have documentation of safety inspections for the building and the machineries issued by any third-party (government and/or private third-party)?	YES	B	The factory obtained the safety annual inspection reports for the buildings and machineries.
Facility management			Comments	Recommended corrective actions
8.6	Does the facility conduct a risk assessment at least once per year to identify health and safety risks that include fire safety?	YES	B	Confirmed by document review, the factory conducted a risk assessment annually.
8.7	Does the facility record and track preventive or corrective action in response to risk assessments?	YES	B	The factory recorded and tracked preventive and corrective action in response of risk assessments.
8.8	Does the facility have a Health and Safety Committee that addresses safety of machinery/ equipment; personal protective equipment (PPE); hazardous, flammable and combustible materials; and fire safety?	YES	B	The factory had established the EHS Committee.
8.9	Is the health and safety committee comprised of management and employee representatives?	YES	B	The health and safety committee comprised of management and employee.
8.10	Does the Health and Safety Committee meet periodically?	YES	B	The factory conducted the EHS meeting quarterly. The last time was conducted on Sep 19, 2018.
8.11	Are Health and Safety Committee meetings documented?	YES	B	The EHS meeting records were provided for reviewing.
8.12	Does the facility conduct internal inspections/ audits for health and safety?	YES	B	The factory conduct the internal audit annually, including the health and safety.
Health and Safety Trainings			Comments	Recommended corrective actions
8.13	Does the facility conduct health and safety training for new employees?	YES	B	The factory conducted the health and safety training for new worker when they entered the factory.
8.14	Does the facility conduct health and safety training for existing employees?	YES	B	The factory provided the training for employees regularly.
8.15	Are health and safety trainings documented?	YES	B	The training records were kept and provided for reviewing.
8.16	Does health and safety training include, at minimum: general workplace safety, fire safety, evacuation procedures, handling of machinery and equipment, handling of hazardous, flammable and combustible materials (where applicable), use of PPE and accident prevention?	YES	B	Confirmed by document reviewing, the training inculd fire safety, evacuation procedures, handling machinery and equipment, handling of hazardous, flammable and combustible materials, use of PPE, accident prevention, electrical safety and etc.
8.17	Does the facility have trained fire team?	YES	B	According to the training records provided, the factory had a fire team with 10 members and trained by local fire department.
8.18	Are emergency response personnel trained, at minimum, on: notification of employees in event of fire or emergency, reporting fire or emergency to local authority, use of fire extinguishers, evacuation procedures, and first aid?	YES	B	Confirmed by document review, the emergency response personnel were well trained, and they knew notification of employees in event of fire or emergency, reporting fire or emergency to local authority, use of fire extinguishers, evacuation procedures and first aid.
8.19 Critical	Does the facility conduct fire drills on a regular basis (if not defined by law, at least one by year) for all floors and shifts?	YES	B	The factory conduct fire drills twice per year for all floors and shifts, and the latest fire drill and evacuation drill was conducted on Oct 16, 2018.
8.20	Are fire drills documented with, at minimum: date, announced/ unannounced, number of participants, and time it took to evacuate? Date format required : DD/MM/YYYY	YES	B	Based on the drills records review, the fire drills included the mentioned contents.

COUNTRY	China	AUDITED FACTORY	XIANGSHAN ZHENGTAI ELECTRICAL APPLIANCE CO., LTD 兴泰电器有限公司
AUDIT DATE : FIRST DAY Date format required : DD/MM/YYYY	21/11/2018	AUDIT COMPANY	SGS
AUDIT DATE : LAST DAY Date format required : DD/MM/YYYY	21/11/2018	REFERENCE	JSASCN18361417

Accident and Emergency Plans and Procedures				Comments	Recommended corrective actions
8.21	Does the facility document occurrence and cause of workplace accidents?	YES	B	Based on documents review, the procedures and systems for reporting and recording accident and emergency issues were in place and implemented.	
8.22	Does the facility report workplace accidents to local authorities?	NA	NA	No accident occurred in the past 12 months.	
8.23	Does the facility post emergency contact information on every floor?	YES	B	The emergency contact information was posted on each floor based on onsite observation.	
8.24 Critical	Is there an evacuation plot plan posted on every floor of the facility?	YES	B	Based on onsite observation, there was an emergency evacuation plot plan reflecting the floor reality identified with understandable and visible signs.	
8.25 Critical	Is the evacuation plot plan in a language understood by employees?	YES	B	Based on onsite observation, and workers interview, the emergency evacuation plot plan was understood by workers.	
8.26 Critical	Can fire department vehicles and fire fighters access the facility?	YES	B	Confirmed by observation on site, it was acceptable.	
Emergency Paths and Exits				Comments	Recommended corrective actions
8.27 Critical AN	In accordance with local law, is there at least a secondary emergency exit on every floor of the facility or more?	YES	B	At least two safety exits were available at each floor of the factory.	
8.28 Critical	Are emergency exits located on each side of the working area?	YES	B	The distance between the safety exits were in accordance with legal requirements.	
8.29 Critical	If facility located above the ground floor or occupies multiple floors, are there at least two sets of stairs to use as emergency exit paths ?	YES	B	Based onsite observation, there were at least two emergency stairs were available at each floor.	
8.30	Are emergency exit paths designated with visible path markings ?	YES	B	All emergency exits paths were installed with visible path marking based on onsite observation.	
8.31 Critical	Are emergency exit paths accessible and unobstructed?	YES	B	The emergency exit paths were accessible and unobstructed..	
8.32 Critical	Are emergency exits designated with visible signs?	YES	B	Based on onsite observation, all emergency exits were unlocked and unobstructed.	
8.33 Critical AN	Are emergency exits unobstructed and unlocked?	YES	B	Emergency exit was free to be opened to the direction of evacuation with single motion. No slide-shutter door or rolling-shutter door was equipped on emergency exit.	
8.34	Do emergency exit doors comply with local requirements?	YES	B	Emergency exit was free to be opened to the direction of evacuation with single motion. No slide-shutter door or rolling-shutter door was equipped on emergency exit.	
8.36	Are emergency exit windows in compliance with local law?	YES	B	No emergency exit windows were used by the factory.	
8.37	Do emergency exit stairs have handrails or guards?	YES	B	Confirmed by observation on site, the factory installed the handrail for all emergency exit stairs.	
8.38 Critical	Are emergency exit paths, exits and stairs lit?	YES	B	The evacuation sign and emergency lighting were installed through the evacuation aisle.	
8.39	Is emergency lighting connected to a secondary power source?	YES	B	Confirmed by observation on site, the emergency lighting were connected to a secondary power source.	
8.40 Critical	Do emergency paths lead towards emergency exits and therefore away from the building?	YES	B	The emergency paths lead towards emergency exits and therefore away from the building.	
8.41 Critical	Is the assembly point or public way unobstructed and located away from the facility?	YES	B	The assembly points in the factory was adequate.	
Fire Equipment				Comments	Recommended corrective actions
8.42 Critical AN	Is there a fire alarm present at the facility?	YES	B	Based on onsite observation, fire alarms were available in production building.	
8.43 Critical	If there is a manual fire alarm present at the facility, is it designated or clearly visible?	YES	B	It was confirmed by onsite observation.	
8.44 Critical	If there is a manual fire alarm, is it unobstructed?	YES	B	It was confirmed by onsite observation.	
8.45	Is the fire alarm audible and different from lunch/ break bell?	YES	B	It was confirmed by onsite observation and workers interview.	
8.46	Does the facility have notification lighting in areas where noise levels are above ambient?	YES	B	Confirmed by onsite observation, it was acceptable.	
8.47 Critical AN	Are there fire extinguishers on every floor of the facility?	YES	B	Based on onsite observation, fire fighting equipment number was compliant with legal requirements.	
8.48	Are fire extinguishers present along emergency exit path?	YES	B	It was confirmed by onsite observation.	
8.49 Critical	Are fire extinguishers designated, clearly visible and accessible?	YES	B	Confirmed by onsite observation, it was acceptable.	
8.50 Critical	Do fire extinguishers comply with legal requirements?	YES	B	Confirmed by onsite observation, it was acceptable.	
8.51 Critical	Are fire extinguisher inspected by facility personnel on regular basis in accordance with the local law?	YES	B	Confirmed by onsite observation, fire extinguishers were inspected once a month..	
8.52 Critical	Are fire extinguishers inspected by specialized companies every year in accordance with the local law?	NO	D	Finding: Based on document review , the fire extinguishers in the workshop were not inspected by third party. It violated Fire Prevention Law of the People's Republic of China (2008), Article 16 Organs, social groups, enterprises, public institutions and other entities shall perform the following fire safety duties: (3) to conduct a comprehensive inspection at least once a year for fire facilities, ensure the intact and effective detection records shall be complete and accurate, archived for future reference;	The factory should arrange third party inspection for fire extinguishers in the workshop.
8.53	If there are smoke detectors or fire detectors present at the facility, does the facility conduct their inspections every month?	NA	NA	No requirement for the factory need to install the smoke detectors.	
8.54	If there is a fire hydrant or sprinkler system in place at the facility, is it inspected, tested and maintained every three months (confirming they are in good working order)?	YES	B	The factory had fire hydrants and inspected them once per month. Based on site observation, they were kept in good conditions.	
8.55 Critical	If there is a fire hydrant, hose pipe or sprinkler system in place at the facility, does the facility also have a water tank, reservoir or suction tank on site?	YES	B	Based on management interview, the water provided for the fire hydrant was from municipal water pipe network and no water tank was installed in factory.	
Electrical Equipment				Comments	Recommended corrective actions
8.56 Critical	Are electrical panels, wires and outlets protected?	YES	B	Confirmed by observation on site, it was acceptable.	
8.57 Critical	Are electrical panels labeled?	YES	B	Based on onsite observation, warning sign was posted on it. It was acceptable.	
8.58	Are electrical panels, wires and outlets inspected every six month by certified staff?	YES	B	Electrical installations were regularly checked by the qualified electrician of the factory every month.	
8.59	In case of the presence of a generator in the facility or its vicinity, is it in a confined area away from working areas in accordance with the local law ?	NA	NA	No generator was available in the factory.	
Production Machinery				Comments	Recommended corrective actions
8.60	Are there safety guards on production equipment and machinery?	YES	B	Confirmed by observation on site, it was acceptable.	
8.61	Do all production machinery have an emergency switch off button and easily accessible?	YES	B	It was confirmed by onsite observation, the emergency switch off buttons were available and accessible for production machines.	
Hazardous, Flammable or Combustible Materials				Comments	Recommended corrective actions
8.62 Critical	Are materials labeled as hazardous, flammable or combustible stored away from sources of ignition?	YES	B	Based on onsite observation, the chemicals were stored away from sources of ignition.	
8.63	Are materials labeled as hazardous, flammable or combustible stored away from production areas?	YES	B	Based on onsite observation, it was acceptable.	
8.64	Does the facility maintain a Material Safety Data Sheet (MSDS) in a language understood by employees?	YES	B	The factory had obtained the MSDS for the chemicals used and stored at the factory and posted them at the places where chemicals were used and stored. And it was easily understood.	

COUNTRY		China	AUDITED FACTORY	XIANGSHAN ZHENGTAI ELECTRICAL APPLIANCE CO., LTD 兴泰电器有限公司
AUDIT DATE : FIRST DAY Date format required : DD/MM/YYYY		21/11/2018	AUDIT COMPANY	SGS
AUDIT DATE : LAST DAY Date format required : DD/MM/YYYY		21/11/2018	REFERENCE	JSASCN18361417
8.65	Are employees working with materials labeled hazardous, flammable or combustible familiar with the Material Safety Data Sheet (MSDS) at the facility?	YES	B	Based on workers interview, workers working with chemicals were familiar with the MSDS.
8.66	Do materials maintained in containers have labels?	NO	D	Finding: Based on onsite observation, it was noted that some chemicals such as lubricating oil in the workshop were not stored in the secondary containment. It violated Code of Design on Building Fire Protection and Prevention, Article 3.6.11 Facilities capable of preventing liquids from flooding and spreading shall be provided in storage storing class A, B and C liquids.
8.67	Does the facility maintain a detailed inventory of all chemicals used and stored on-site?	YES	B	Based on onsite observation, it was acceptable.
8.68	Does the facility maintain an inventory of the waste types and quantities generated on-site?	YES	B	Based on onsite observation, it was acceptable.
8.69	Does the facility separate hazardous wastes from non-hazardous waste streams?	YES	B	Based on onsite observation, it was acceptable.
8.70	According to the local regulation for waste (including sludge) handling, storage, treatment or disposal, is a waste management procedure in place for waste collection and temporary storage ?	YES	B	Based on onsite observation, it was acceptable.
8.71	Does the facility make sure that the workers who handle wastes are aware and are trained to the requirements on waste management (segregation, storage, labeling and disposal)?	YES	B	The factory trained the workers regularly.
8.72	In case of hazardous, flammable or combustible materials use, is the eye wash station accessible and unobstructed?	YES	B	Based on onsite observation, the factory installed wash station in the chemical used area and the eye wash station was accessible and unobstructed.
8.73	Is there an eye wash station located within 6 meters of the chemical storage area and connected to a water source?	YES	B	Based on onsite observation, the eye wash station was located within 6 meters of the chemical storage area and connected to a water source. It was about 2 meters.
Personal protective equipment				Comments
8.74	Where necessary, do employees have access to personal protective equipment (PPE) free of charge?	YES	B	Based on workers interview and onsite observation, the factory provided PPE for workers free of charge
8.75	Is use of personal protective equipment (PPE) required and enforced by facility management?	YES	B	Workers used the PPEs provided when operation.
Sanitation				Comments
8.76	Do employees have access to gender-specific, clean and private toilet facilities?	YES	B	Based on onsite observation, there were adequate toilets for workers in the factory, they were sufficient and clean.
8.77	Are all washing and toilet areas equipped with soap?	YES	B	Based on onsite observation, it was acceptable.
8.78	Do toilet facilities have washing installations with running water?	YES	B	Based on onsite observation, it was acceptable.
8.79	Do employees have access to potable water?	YES	B	Based on workers interview and onsite observation, it was confirmed that all employees could be free access drinking water.
8.80	If the facility provides a food preparation, eating area or canteen for employees, is the area clean?	NA	NA	There was no kitchen and canteen in the factory.
Medical care				Comments
8.81	Is there a valid first aid kit present in every working area?	YES	B	The first aid kit was available at each workshop.
8.82	Does the facility provide a care room for employees?	NA	NA	No such legal requirement in China.
8.83	Does the facility have a signed agreement with an emergency unit in the vicinity of the facility in case of a serious accident?	YES	B	The factory had signed agreement with local hospital.
8.84	Does the facility have sufficient trained employees to administer medical care?	YES	B	There were 2 first aiders available in the factory.
8.85	If legally required, does the facility provide a child care room for employees?	NA	NA	There was no child care rooms in the factory , and it was not legal requirement in China.
Best practice observations		YES/NO		Comments
8.86 Best Practice	---	NO	NA	
8.87 Best Practice	---	NO	NA	

Health and safety : Please add here any comment, information or remark on special circumstances that you would like to share with the ICS member. If confidential or could be prejudicial to workers, please use the separate form. If needed, please add here any additional best practices found.

Nil