

Monitored Party SHAOXING TIANXIU UMBRELLA CO., LTD.	amfori ID 156-026748-000	Address Songxia Town Industrial Zone Shangyu Area, Shaoxing, Zhejiang Sheng, China
Monitoring Activity amfori Social Audit - Manufacturing	Monitoring Type Full Monitoring	Monitoring Partner QIMA Limited
Monitoring Start Date 31/10/2023	Closing Meeting Finished Date 01/11/2023	Submission Date 01/11/2023
Expiration Date 01/11/2024	Announcement Type Fully Announced	
Site Site 1	Site amfori ID 156-026748-001	

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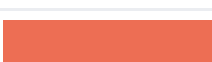

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OVERALL RATING



SECTION RATING

PA1: Social Management System	C	
PA 2: Workers Involvement and Protection	A	
PA 3: The Rights of Freedom of Association and Collective Bargaining	A	
PA 4: No Discrimination, Violence or Harassment	A	
PA 5: Fair Remuneration	B	
PA 6: Decent Working Hours	D	
PA 7: Occupational Health and Safety	A	

PA 8: No Child Labour	A	
PA 9: Special Protection for Young Workers	A	
PA 10: No Precarious Employment	A	
PA 11: No Bonded, Forced Labour or Human Trafficking	A	
PA 12: Protection of the Environment	A	
PA 13: Ethical Business Behaviour	A	

GENERAL DESCRIPTION

Name of lead auditor: Bill Bao (APSCA member No. CSCA 21701780).

Monitoring partner name: QIMA LIMITED, APSCA Membership Number:11600049.

Audit schedule details: The audit is planned for 1 auditor x 1 day.

Business partner information:

SHAOXING TIANXIU UMBRELLA CO., LTD (绍兴市天秀伞业有限公司) is located at Songxia Town Industrial Zone Shangyu Area, Shaoxing, Zhejiang, China (中国浙江省绍兴市上虞区崧厦街道工业区). The factory registered in Market Supervision Administration of Shangyu District of Shaoxing City, having unified social credit code 91330604766428414M, date from 15-Sep-2004 to long term. The main products manufactured in the auditee were umbrella. The main production process included cutting, sewing, assembly, inspection and packing.

Audited location information:

The auditee occupied two 2-storey buildings and one 4-storey building as workshop, warehouse and office. The auditee rented half of the 1st floor of one 2-storey building to Shaoxing Shangyu Runtian Tourist Products Co., Ltd. The main operation of this facility was international trading. Through employee interview on site, no employees were transferred between each other. The facility provided the lease agreement and landlord of business license for review. The total area of the buildings was about 5800 square meters. No dormitory or canteen &kitchen was provided in the factory. The floor of the 4-storey building used by audit factory as follow:

1F: warehouse / 1030 square meters.

2F: assembly, inspection and packing/1030 square meters.

3F: cutting, sewing, finished goods warehouse / 1030 square meters.

4F: cutting, sewing, warehouse/ 1030 square meters.

The floor of the 2-storey building used by audit factory as follow:

1F: warehouse/ 400 square meters.

2F: laboratory/ 400 square meters.

The floor of the 2-storey building used by audit factory as follow:

1F: half used by Shaoxing Shangyu Runtian Tourist Products Co., Ltd, eating place/ 500 square meters.

2F: sample room, office/ 500 square meters.

Operating shifts and hours:

During the audit, the main auditee had provided the attendance records from Oct 1, 2022 to the audited day for review. 6 sampled workers' attendance records from September 2023 (current month), April 2023 (random month) and December 2022 (random month) were selected for checking. Workers' regular working time was 5 days per week (from Monday to Friday) and 8 hours per day. One shift was arranged for workers from 08:00 to 17:00 with 1 hour rest. Workers worked overtime 2 hours on weekdays 2-3 days in a week and worked 8 hours on Saturdays normally, the maximum daily overtime was 2 hours, the maximum monthly overtime were 62 hours, and the maximum weekly working time were 54 hours. All workers rest on every Sunday and statutory holidays. The main auditee guaranteed workers have at least one day off per seven days, workers could choose work overtime or not, and the main auditee paid enough overtime wage according to legal law.

Time recording system:

The main auditee had established working hours procedure and used fingerprint to record workers' working time.

Salary payment details:

The main auditee had established wage and benefits procedure, workers minimum wage, statutory holidays, annual leave etc. were defined in the procedure. During the audit, the main auditee had provided the payrolls from October 2022 to September 2023 for review. 6 sampled workers' payroll records from September 2023 (current month), April 2023 (random month) and December 2022 (random month) were selected for checking. Based on worker interviews and document review, workers were paid by hourly rate, their minimum wage was RMB 3000 per month or RMB 17.24 per hour, which was above the minimum wage standard local city (RMB 2070 per month or RMB 11.90 per hour since Aug. 1, 2021). No

any fee was deducted from workers' wage, the main auditee would not punish workers with fines. The main auditee paid workers' current wage to workers on the 30th of the next month by cash. The main auditee did not provide social insurance for some workers.

Worker number information:

Total worker number: 47 (Non-production workers: 11)

Production worker number: 36 (male: 11, female: 25)

Worker organization details:

There was no trade union in the factory. 1 worker representative was elected by all employees on Jan 04, 2023 freely.

Circumstances:

There was no special circumstance observed during this audit. Factory management cooperate with the audit during the whole audit process.

Summary of findings:

PA1: The overall observation showed that the auditee partially fulfilled the requirement of this performance area. The Social Management System were not implemented properly.

The auditee did not organize its workforce capacity to meet the expectation of the delivery order or contract.

PA2: The overall observation showed that the auditee partially fulfilled the requirement of this performance area. No employees participated in them and did not approve by qualified management.

PA5: The overall observation showed that the auditee partially fulfilled the requirement of this performance area. Auditee did not provide social insurance for some employees.

PA6: The overall observation showed that the auditee partially fulfilled the requirement of this performance area. Workers' monthly overtime hours exceeded legal requirement.

PA7: The overall observation showed that the auditee partially fulfilled the requirement of this performance area. No involvement of worker representative when developing and implementing system toward OHS management (risk assessment).

Some materials and finished goods stored against the wall and pillar.

No report of construction completion acceptance was provided.

No certificate or report/register for fire protection acceptance was provided.

The auditee did not install finger protectors for 5% sewing machines.

PA12: The overall observation showed that the auditee partially fulfilled the requirement of this performance area. No actual active plan focuses on saving water were established.

PA13: The overall observation showed that the auditee partially fulfilled the requirement of this performance area. The auditee did not establish reward policy encouraging workers to expose any corruption issues.

Living wage calculation:

Living wage had been calculated by the factory, which was reasonable.

Precautions taken about #COVID-19 in the facility:

There are no specific COVID-19 control requirements in Factory.

Remark:

1. There was a personal data protection law in China, so the auditor had desensitized the uploaded attachment.

2. Below documents were not uploaded because:

1). There are no contractors used by the auditee, which makes the contractor license/permit not applicable.

2). There are no agencies used by the auditee, which makes the agency labour contract not applicable.

- 3). There are no collective bargaining agreements set by the auditee, which makes the collective bargaining agreements not applicable.
- 4). There is no documented valid authorization to make exemptions on working hours by the auditee, which makes

SITE DETAILS

Site
Site 1

Site amfori ID
156-026748-001

GICS Classification

Sector Consumer Staples	Industry Group Household & Personal Products	Industry Household Products
Sub Industry Household Products		

amfori Process Classifications

N.A.

GS1 Classifications

N.A.

NACE Classification

N.A.

Water Stress Situation

N.A.

METRICS

Key Metrics

Total workforce	47	Workers
Legal minimum wage in local currency	2,070	Monthly
Lowest wage paid for regular work at the site	3,000	Monthly
Calculated living wage in local currency	2,750	Monthly
Total sample	6	Workers

Other Metrics

Male workers	16	Workers
Female workers	31	Workers
Non-binary workers	0	Workers
Permanent workers - Male	16	Workers
Permanent workers - Female	31	Workers
Permanent workers - Non-binary	0	Workers
Temporary workers - Male	0	Workers
Temporary workers - Female	0	Workers
Temporary workers - Non-binary	0	Workers
Seasonal workers - Male	0	Workers
Seasonal workers - Female	0	Workers
Seasonal workers - Non-binary	0	Workers
Management - Male	1	Workers
Management - Female	2	Workers
Management - Non-binary	0	Workers
Apprentices - Male	0	Workers
Apprentices - Female	0	Workers
Apprentices - Non-binary	0	Workers
Workers on probation - Male	0	Workers
Workers on probation - Female	0	Workers
Workers on probation - Non-binary	0	Workers
Workers with night shift - Male	2	Workers
Workers with night shift - Female	0	Workers
Workers with night shift - Non-binary	0	Workers
Workers with disabilities - Male	0	Workers
Workers with disabilities - Female	0	Workers
Workers with disabilities - Non-binary	0	Workers
Domestic migrant workers - Male	9	Workers
Domestic migrant workers - Female	11	Workers
Domestic migrant workers - Non-binary	0	Workers
Foreign migrant workers - Male	0	Workers

Foreign migrant workers - Female	0	Workers
Foreign migrant workers - Non-binary	0	Workers
Workers hired directly - Male	16	Workers
Workers hired directly - Female	31	Workers
Workers hired directly - Non-binary	0	Workers
Workers hired indirectly - Male	0	Workers
Workers hired indirectly - Female	0	Workers
Workers hired indirectly - Non-binary	0	Workers
Unionised workers - Male	0	Workers
Unionised workers - Female	0	Workers
Unionised workers - Non-binary	0	Workers
Workers under CBA - Male	0	Workers
Workers under CBA - Female	0	Workers
Workers under CBA - Non-binary	0	Workers
Pregnant workers	0	Workers
Workers on parental leave - Male	0	Workers
Workers on parental leave - Female	0	Workers
Workers on parental leave - Non-binary	0	Workers
Sample - Male	2	Workers
Sample - Female	4	Workers
Sample - Non-binary	0	Workers

FINDINGS



PA1: Social Management System

Site: Site 1 | Site amfori ID: 156-026748-001

Question: 1.1 Is there satisfactory evidence that the auditee has set up an effective management system to implement the amfori BSCI Code of Conduct?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>The main auditee partially respects this principle. The factory has established procedures and management manuals related to social responsibility management system on 15-Dec-2020 based on management interview and document review, but some requirements and policies were not well understood and implemented. For example, it was found that gap existed between implementation and policy on Fair Remuneration, Decent Working Hours, Occupational Health and Safety, etc. The facility management declared that they did not fully understand Amfori BSCI Code of Conduct and requirements and did not provide adequate training to all workers. It violated the requirement of question 1.1 in amfori BSCI system manual.</p>	<p>被审核方部分遵守该原则，根据管理层访谈及文件查看工厂已经在2020年12月15日建立了社会责任管理体系相关的程序文件和管理手册，但部分要求没有理解执行到位，例如审核中发现在公平报酬、体面工作时间、职业健康安全等方面的实施与政策存在差距。工厂管理层解释他们未充分理解Amfori BSCI行为准则和要求，且对员工培训不到位。违反了amfori BSCI管理手册中问题1.1的要求。</p>

Question: 1.4 Is there satisfactory evidence that the auditee's workforce capacity is properly organised to meet the expectations of the delivery order and/or contracts?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>It was noted that the workers' overtime exceeded the law requirement in 3 random months (September 2023, April 2023 and December 2022), which was resulted from unreasonable production planning. The factory did not organize its workforce capacity to meet the expectation of the delivery order or contract. The facility management declared that, insufficient employees were in the production lines, so workers were put on overtime to complete more orders. It violated the requirement of question 1.4 in amfori BSCI system manual.</p>	<p>审核发现员工在随机抽样的月份（2023年9月，2023年4月和2022年12月）月加班超过了法律标准，是由于工厂的不合理的生产规划导致的。工厂管理层解释，工厂没有建立有效的产能规划程序来确保符合交货期。生产线上的人手不够，因此工人被安排加班去完成更多的订单。违反了amfori BSCI管理手册中问题1.4的要求。</p>



PA 2: Workers Involvement and Protection

Site: Site 1 | Site amfori ID: 156-026748-001

Question: 2.2 Is there satisfactory evidence that the auditee defines long-term goals for protecting workers in line with the aspirations of the amfori BSCI Code of Conduct?

ENGLISH

LOCAL LANGUAGE

Finding

The auditee had established the long terms goals to protect workers according to the amfori BSCI Code of Conduct. But no employees participated in them and did not approve by qualified management. The facility management declared that they did not fully understand Amfori BSCI Code of Conduct and requirements. It violated the requirement of question 2.2 in amfori BSCI system manual.

被审核方按照amforiBSCI的期望建立保护工人的长期目标，但员工没有参与确立这些目标，没有被有资格的管理人员批准。工厂管理层解释他们未充分理解Amfori BSCI行为准则和要求。违反了amfori BSCI管理手册中问题2.2的要求。

PA 5: Fair Remuneration

Site: Site 1 | Site amfori ID: 156-026748-001

Question: 5.5 Is there satisfactory evidence that the auditee provides workers with the social benefits that are legally granted without negative impact on their pay, level of seniority, position, or promotion prospects?

ENGLISH

LOCAL LANGUAGE

Finding

The factory did not provide retirement, medical, unemployment, maternity and injury insurance for some employees. According to the payment voucher of social insurance from Jul. 2023 to Sep. 2023, the auditee only provided retirement, medical, unemployment, maternity and injury insurance for 12 employees, the auditee provided commercial insurance for 40 employees. Confirmed by management interview, partial employees had rural insurance, and they did not want to purchase social insurance. 11 employee reached retirement ages and no worker worked less than 1 month. The facility management declared that the workers' awareness about social insurance was not strong and they were unwilling to participate in social insurance. It violated Labor Law of the People's Republic of China (2018 Amendment) Article 72 & Social Insurance Law of the People's Republic of China (2018 Amendment), Article 10, Article 23, Article 33, Article 44, Article 53, Article 58, Article 60.

工厂未给部分工人提供养老，医疗，生育，失业及工伤保险。基于2023年7月至2023年9月的社保缴费凭证，工厂给47名工人中的12名员工提供了养老，医疗，生育，失业及工伤保险，给40名员工购买了商业保险。管理层表示，部分员工有买新农保，不愿意购买社保。工厂有11名员工达到退休年龄且没有少于一个月的新进工人。工厂管理层解释，因为工人的社保意识不强，且他们不愿意参保。违反了中华人民共和国劳动法（2018修正）第七十二条和中华人民共和国社会保险法（2018修正）第十条，第二十三条，第三十三条，第四十四条，第五十三条，第五十八条和第六十条。

PA 6: Decent Working Hours

Site: Site 1 | Site amfori ID: 156-026748-001

Question: 6.2 CRUCIAL: Is there satisfactory evidence that the auditee request of overtime is in line with the requirements of the amfori BSCI Code of Conduct?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>Workers' overtime hours exceeded the legal requirement. Through document review, auditor found that the monthly overtime hours of 6 out of 6 randomly selected employees were 54 hours in September 2023 (current month). 6 out of 6 randomly selected employees were 56 hours in April 2023 (random month), 6 out of 6 randomly selected employees were 62 hours in December 2022 (random month). The facility management declared that delivery time of order was relatively short and number of production workers was relatively small.</p> <p>It violated Labor Law of the People's Republic of China (2018 Amendment), Article 41.</p>	<p>员工加班时间超过法规要求。通过文件审核，审核员发现在抽取的2023年09月份（当前月）的考勤中，6名随机抽取的员工中6人月加班时间为54小时。2023年4月份（随机月）的考勤中，6名随机抽取的员工中6人月加班时间为56小时，2022年12月份（随机月）的考勤中，6名随机抽取的员工中6人月加班时间为62小时。工厂管理层解释是由于订单时间比较紧张和生产员工比较少导致的。</p> <p>违反了中华人民共和国劳动法（2018修正）第四十一条。</p>

PA 7: Occupational Health and Safety

Site: Site 1 | Site amfori ID: 156-026748-001

Question: 7.1 Is there satisfactory evidence that the auditee observes occupational health and safety regulations applicable for its activities?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>The factory established OHS (occupational health and safety) policy and procedure and OHS meeting was held every 3 months to review the compliance of OHS. However, some non-compliances were observed during this audit. The factory management explained they lack of education and supervision for workers.</p> <p>It violated the requirement of question 7.1 in amfori BSCI system manual.</p>	<p>工厂有建立职业健康安全方面的政策和程序，每3个月进行一次职业健康安全的会议来检讨工厂在职业健康安全方面的符合性。但是，此次审核中发现一些不符合项。工厂管理层解释对员工缺少监督培训。</p> <p>违反了amfori BSCI管理手册中问题7.1的要求。</p>

Question: 7.4 Is there satisfactory evidence of active cooperation between management and workers (and/or their representatives) when developing and implementing systems towards ensuring OHS?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>There was no involvement of worker representative when developing and implementing system toward</p>	<p>工厂在开发和执行职业健康安全体系(风险评估)中没有涉及到员工代表的参与。工厂管理层表示疏忽。</p>

Finding	
OHS management (risk assessment). The factory management explained they did not aware it. It violated the requirement of question 7.4 in amfori BSCI system manual.	违反了amfori BSCI管理手册中问题7.4的要求。

Question: 7.11 Is there satisfactory evidence that the auditee confirms that the equipment and buildings used for production are stable and safe?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>1. Based on observation onsite, some materials and finished goods stored against the wall or pillar. The factory management explained the space was not enough and there were too many goods. It violated General Rules for Fire Safety Management of Storage Occupancies (XF 1131-2014), Article 6.7</p> <p>2. No report of construction completion acceptance was provided. The factory management explained they can not find the report of construction completion acceptance. It violated Construction Law of the People's Republic of China (2019 Amendment), Article 61</p> <p>3. No certificate or report/register for fire protection acceptance was provided. The factory management explained they can not find certificate or report/register for fire protection acceptance.</p>	<p>1. 经现场走访发现，被审核方的原材料仓和成品仓中的部分货物靠墙或柱堆放。工厂管理层解释场地不够用，货比较多。违反了仓储场所消防安全管理通则（XF 1131-2014）6.7</p> <p>2. 被审核方没有提供建筑竣工验收报告供审阅，工厂管理层解释没有找到。违反了中华人民共和国建筑法（2019修正）第六十一条</p> <p>3. 被审核方没有提供消防验收合格证明或消防备案供审阅，工厂管理层解释没有找到。中华人民共和国消防法（2019修正）第十一条</p>

Question: 7.17 Is there satisfactory evidence that the auditee ensures adequate safeguards for any machine part, function, or process which may cause injury to workers?

ENGLISH	LOCAL LANGUAGE
Finding	
<p>Based on observation onsite, the factory did not install finger protectors for 5% sewing machines. The factory management explained that the finger protectors would trouble operation. The factory lack of supervision. It violated General Rules of Design on Health and Safety of Production Facility (GB 5083-1999) 6.1</p>	<p>根据现场观察，工厂5%的缝纫机没有安装护指环。工厂管理层解释护指环对操作比较麻烦。工厂缺少监管。违反了生产设备安全卫生设计总则（GB 5083-1999）6.1</p>

PA 12: Protection of the Environment

Site: Site 1 | Site amfori ID: 156-026748-001

Question: 12.5 Is there satisfactory evidence that water is managed in a way that respects the environment, particularly but not limited to preserving local water sources?

ENGLISH

LOCAL LANGUAGE

Finding

The factory established procedure on energy conservation and emission reduction, but no actual active plan focuses on saving water were established. The factory management explained that employees did not have the awareness of water saving and lack of training. It violated the requirement of question 12.5 in amfori BSCI system manual.

审核员发现工厂已经建立了节能减排的程序，但是未针对节约用水建立实际的行动。工厂管理解释员工没有节水意识，培训不足。违反了amfori BSCI管理手册中问题12.5的要求。

PA 13: Ethical Business Behaviour

Site: Site 1 | Site amfori ID: 156-026748-001

Question: 13.1 Is there satisfactory evidence that the auditee actively opposes any act of corruption, extortion or embezzlement, or any form of bribery in its activities as a business enterprise?

ENGLISH

LOCAL LANGUAGE

Finding

Based on document review, the auditee did not establish reward policy encouraging workers to expose any corruption issues. The facility management declared that they did not fully understand Amfori BSCI Code of Conduct and requirements. It violated the requirement of question 13.1 in amfori BSCI system manual.

通过文件查阅，被审核方没有建立奖励政策鼓励员工对腐败的行为进行举报。工厂管理层解释他们未充分理解Amfori BSCI行为准则和要求。违反了amfori BSCI管理手册中问题13.1的要求。