

Responsible Sourcing Workplace Assessment Report + Enhanced Management Systems & Environment



Prepared for: CVS Health

Assessment Date(s): 06/19/2019

Client Profile

CVS Health

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Supplier Profile

Client Supplier ID:	18690	Supplier Name (Local Language):	N/A
Supplier Name:	Westminster Pet Products		
Supplier Contact Name:	Linda Emery, Emily Yang		
Supplier Phone:	401-721-1405, 401 721 1413		
Supplier Fax:	Not provided		
Supplier Email:	lemery@ritextile.com; eyang@ritextile.com		

Current Assessment Profile

Facility Name:	JSNK Cixi Plastic Mfg co., LTD	Business Line:	Store Brand
Report Number:	361115	Assessment Start Time:	9:30 AM
Assessment Result/Grade:	Low Risk	Assessment End Time:	3:30 PM
Assessment Type:	Initial Onsite	Name of Auditor or Assessor (Lead):	Candy Cao
Is this assessment date announced or not?	Announced with Window	Name of Auditors or Assessors (Team):	N/A
Assessment Start Date:	06/19/2019	Other Parties Involved in Assessment:	None
Assessment End Date:	06/19/2019	Report Author:	Candy Cao
Number of Person Days:	1	Original RSWA Question Set Modified?	Yes
Grading Matrix Used:	Client Specific		

RESPONSIBLE SOURCING WORKPLACE ASSESSMENT REPORT

Facility Name: JSNK Cixi Plastic Mfg co., LTD

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1. Assessment Overview

1.1 Summary of Activities

Opening Meeting:

Upon arrival to the facility, the auditor (Candy Cao) was greeted by Yang Yina /HR Manager and escorted to meeting room where an opening meeting was conducted with Yang Yina /HR Manager and Fan Zhaohui/General Manager. The assessment procedures, grading criteria and UL Statement of Integrity were explained, and the UL Statement of Integrity was signed by a facility representative. Access to employees, facility and documentation was fully granted.

RBA Training courses completed (if applicable): None

Facility Walkthrough:

A health and safety walkthrough was facilitated by Yang Yina /HR Manager which provided an overview of the facility work floor and employee interaction with each other and with the management team.

The auditor (Candy Cao) assessed the following facility areas:

- The facility rented 3 flat production buildings from Cixi Huoda Electrical Technology Co., Ltd., which is used as injection molding section and assembly section and warehouses.
- No dormitory or canteen is provided.

The auditor (Candy Cao) sampled:

- All the production areas and sampled 10 fire equipment, 6 safety exits, 4 electrical controls, 3 first aid kits, 2 fire alarms
- No dormitory or canteen is provided.

Documentation Review:

After the walkthrough, facility management provided access to facility Environmental, Health and Safety (EHS) documentation. The following EHS documentation was reviewed:

- Policy and procedures in place for Health and Safety Committee
- Health and Safety Committee meeting notes
- Environmental impact study which contained risk assessment
- Internal audit documents and corrective actions
- Machine maintenance and inspection records
- Health and safety training materials and attendance records for employees
- Evacuation drill documents
- Emergency plan

Furthermore, a payroll assessment was conducted and one full year of payroll and time records were made available for the review and facilitated by Yang Yina /HR Manager. As part of the payroll review, auditor (Candy Cao) requested and was provided with three payroll periods as the sample for the payroll assessment. In each period, 10 were sampled.

The reviewed payroll records consisted of time records (the facility uses electrical cards swiping system to record working hours of all employees) and 10 sampled payroll records issued to 0 hourly employees, 0 piece rate employees and 10 salaried employees. Payroll register displayed employee name, weekending date, all regular and overtime hours worked, hourly rates, earnings, additions/deductions, net and gross earnings.

In addition to payroll and time records, the following records were also reviewed:

- Employee Handbooks.

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- Personnel files
- Employee manual
- Social responsibility policy and procedure
- Social insurance receipts, etc.
- Business license

Employee Interviews:

The day on which the employee interviews were conducted, a total of 34 employees were present. A sample of 10 employees was selected to include 2 male and 8 female workers from different sections.

Closing Meeting:

At the conclusion of the assessment a closing meeting was conducted with Yang Yina /HR Manager and Fan Zhaohui/General Manager. The assessment outcome was communicated and reviewed in detail through presenting the Summary of Findings. The Summary of Findings was signed by Fan Zhaohui/General Manager. Assessment team thanked the meeting participants for their time, cooperation and assistance with the assessment process. The assessment was concluded at 3:30 pm.

1.2 Facility Risk Rating and Performance

Table 1: Current and previous assessment information:

Current Assessment		Previous Assessment	
Assessment Date:	06/19/2019	Assessment Date:	N/A
Assessment Result/Grade:	Low Risk	Assessment Result/Grade:	N/A
Assessment Type:	Initial Onsite	Assessment Type:	N/A
		Previous assessment completed by UL:	N/A

Table 2: Number and type of findings in current assessment:

	Number of Findings	Low Risk	Intermediate Risk	High Risk	Critical Risk	Alert Notification	Zero Tolerance	Law	Code of Conduct	Int'l Standard/ Min. Recommendation
Facility Profile	1	1	0	0	0	0	0	0	1	0
Management Systems	0	0	0	0	0	0	0	0	0	0
Labor	0	0	0	0	0	0	0	0	0	0
Wages & Hours	2	1	1	0	0	0	0	2	0	0

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Health & Safety	3	1	2	0	0	0	0	2	0	1
Environment	0	0	0	0	0	0	0	0	0	0
Totals	6	3	3	0	0	0	0	4	1	1

Table 3: Overview of listed findings in current assessment:

Category	Subcategory	Finding Statement	Grade	Standard
Facility Profile	Elearning	Facility did not complete the CVS e-learning	Low	COC
Wages & Hours	Benefits	Social insurance not provided - China only (with or without valid social insurance waiver)	Low	Law
Wages & Hours	Overtime Hours	Overtime working hours not in compliance with law (less than two times the country limit)	Intermediate	Law
Health & Safety	Electrical	Electrical panels obstructed by movable object and/or temporarily not accessible	Intermediate	Minimum Recommendation
Health & Safety	First Aid - Medical tests	No legally required medical testing (e.g. hearing test)	Intermediate	Law
Health & Safety	Personal Protective Equipment - Use	Use of PPE not enforced by supervisors or the employees do not wear PPE in accordance with established policies, codes and systems	Low	Law

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2. Facility Profile		
2.0.1	Facility Name:	JSNK Cixi Plastic Mfg co., LTD
2.0.2	Facility Name in Local Language:	慈溪市杰斯塑料制品有限公司
2.0.3	Facility Address:	No.31,329 National Way,Xinxi Village, Longshan Twon, Cixi, Zhejiang, China
2.0.4	Facility Address in Local Language:	中国浙江省慈溪市龙山镇新西村 329 国道 31 号
2.0.5	Facility Contact Name who assisted with assessment:	Mr. FAN Zhaohui
2.0.6	Facility Phone:	86-574-63700956
2.0.7	Facility Fax:	Not provided
2.0.8	Facility Email:	385198106@qq.com
2.0.9	Facility Reported Owner or Operations Manager:	HAO Jijun
2.0.10	Facility Reported Number of Years Operating out of Assessed Location:	11
2.1 Facility Access		
2.1.0	Can you access the facility?	Yes
2.2 Certifications		
2.2.0	Valid certifications or stakeholder initiative participation:	N/A. This is one man day audit.
2.3 Production Profile		
2.3.1	Industry sector:	Toys
2.3.2	Principal products:	Plastic pet toy
2.3.3	Production capacity per month:	100,000 pieces
2.3.4	% of total production for client:	0%
2.3.5	% of total production for other current clients:	100%
2.3.6	Labels viewed on production floor:	Petmate 100%
2.3.7	Is the facility operating at full capacity?	Yes
2.4 Personnel Profile		
2.4.1	Total number of employees (excl. contracted employees):	36
2.4.1.a	total male	10
2.4.1.b	total female	26
2.4.1.c	permanent	36
2.4.1.d	temporary (facility direct hire)	0
2.4.1.e	part-time (facility direct hire)	0
2.4.1.f	night	4
2.4.1.g	pregnant	0
2.4.1.h	on maternity leave	0
2.4.1.i	piece-rate	0
2.4.1.j	salaried	36
2.4.1.k	hourly paid	0
2.4.1.l	homeworkers	0
2.4.1.m	apprentice / trainees	0

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2. Facility Profile		
2.4.1.n	employees under the age of 18	0
2.4.1.o	foreign imported/ foreign migrant	0
2.4.1.p	hired by the facility through labor brokers	0
2.4.1.q	contracted employees working in production	0
2.4.1.r	contracted employees indirectly related to production (e.g. security, maintenance)	0
2.4.1.s	age youngest employee:	23 years old
2.4.1.t	nationalities of the employees:	Chinese
2.4.1.u	employee turnover rate of facility direct hires:	10%
2.4.1.v	employee absenteeism by gender of facility direct hires:	Not provided
2.5 License		
2.5.1	Does the facility possess a business license?	Yes
2.5.2	Is the business license maintained and posted in accordance with applicable standards?	Yes
2.6 Labor Disputes		
2.6.1	Has the facility been free of any public labor disputes (e.g. strike, demonstration) in the last 2 years?	N/A. This is one man day audit.
2.7 Community Engagement		
2.7.1	Does the facility support its community through any type of engagement?	N/A. This is one man day audit.
2.8 CVS E-Learning		
2.8.1	Did the facility complete the CVS e-learning (CVS e-learning is an annual requirement and must be completed annually)?	No New finding: The facility did not provide proof of completion during course of audit. Client Code of Conduct
2.9 Facility Double High Risk		
2.9.1	Has the facility received two High Risk grades in two consecutive audits?	No, facility has not received two High Risk grades in two consecutive audits.

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3. Facility Supply Chain Profile		
3.1 Subcontracting		
3.1.1	<p>Does the primary facility utilize Tier 1 subcontractors?</p> <p>Tier 1 subcontractor defined as: Producing finished merchandise where substantial manufacturing occurs to render the product a finished or consumer ready item</p> <p>and/or</p> <p>Producing a major component of finished product that could be sold independently with a CVS distributed by statement, private label or proprietary brand logos</p>	<p>No, primary facility does not utilizes Tier 1 subcontractor</p> <p>Remark: The factory has never received CVS order yet. The factory will not use Tier 1 subcontractor for the future CVS production as per Mr. FAN Zhaohui/General Manager.</p>
3.1.2	<p>Does the primary facility utilize Tier 4 subcontractors for further handling of merchandise containing CVS Brand logo, distributed by CVS, or CVS private label (i.e. embroidery, and so forth)</p>	<p>No, primary facility does not utilizes Tier 4 subcontractor for further handling of merchandise</p> <p>Remark: The factory has never received CVS order yet and does not know if there will be CVS logo involved on future product.</p>
3.1.3	<p>Does the primary facility utilize Tier 4 subcontractors for the production of packaging materials containing CVS Brand logo, distributed by CVS, or CVS private label?</p>	<p>No, primary facility does not utilizes Tier 4 subcontractor for the production of packaging materials</p> <p>Remark: The factory has never received CVS order yet and does not know if there will be CVS logo involved on future packaging materials. Factory has not decided which packaging material supplier will be used for future CVS production.</p>
3.1.4	<p>Does the primary facility put the product into the final CVS Brand logo, distributed by CVS, or CVS private label point of purchase packaging?</p>	<p>No, the factory conducts packing process but the factory has never received CVS order yet and does not know if there will be CVS logo involved on the future products or packaging materials.</p>
3.1.5	<p>Facility personnel in charge of subcontractor disclosure:</p>	<p>Mr. FAN Zhaohui/General Manager</p>
3.2 Contractors		
3.2.1	<p>The facility does not use contractors.</p>	<p>Yes</p>
3.3 Homeworkers		
3.3.1	<p>The facility does not use homeworkers.</p>	<p>Yes</p>
3.4 Governance		
3.4.1	<p>Are applicable standards (e.g. facility, client, legal) communicated to facility's suppliers, subcontractors, contractors, customers and partners?</p>	<p>Yes</p>
3.5 Risk Assessment		

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3. Facility Supply Chain Profile

3.5.1	Has the facility conducted a supply chain risk assessment to identify suppliers, subcontractors, contractors, customers and partners who constitute a risk to the facility?	N/A. This is one man day audit.
3.6 Auditing		
3.6.1	Does the facility audit its suppliers, subcontractors, contractors, customers and partners?	Yes
3.6.1.a	Does the facility keep records of the supply chain monitoring activity?	Yes

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4. Management Systems		
4.1 Certifications		
4.1.1	Does the facility have valid management systems certifications?	N/A. This is one man day audit.
4.2 Governance		
4.2.1	Has the facility established policies/ codes governing labor, grievances, health and safety, environment, and ethics and business integrity?	Yes
4.2.1.a	Do documents exist demonstrating executive management support of policies?	Yes
4.2.1.b	Does the facility have a documented system to annually review and modify facility's policies/ codes?	Yes
4.2.1.c	Are policies made available to the public?	Yes
4.3 Compliance		
4.3.1	Has the facility implemented a mechanism that identifies, keeps up to date and alerts applicable personnel of all standards (e.g. legal, client) that the facility must comply with?	Yes
4.4 Responsibility		
4.4.1	Does the facility have in place management personnel to implement the facility's policies, client specific requirements and legal requirements in the areas of labor, grievances, health and safety, environment, and ethics and business integrity?	N/A. This is one man day audit.
4.5 Education		
4.5.1	Does the facility communicate and train employees (all levels) on the facility's policies, client specific requirements and legal requirements in the areas of labor, grievances, health and safety, environment, ethics and business integrity?	Yes
4.6 Performance		
4.6.1	Has the facility identified performance objectives related to labor, grievances, health and safety, environment, and ethics and business integrity?	N/A. This is one man day audit.
4.7 Grievance Mechanism		
4.7.1	Does the facility maintain a grievance procedure by which employees can confidentially raise issues of concern to management without fear of reprisal or negative repercussions?	Yes
4.7.1.a	Has the facility implemented a procedure to record, track, and communicate progress and individuals responsible for each grievance item reported to the facility?	Yes
4.8 Other		
4.8.1	Are any other management systems practices (not already covered in this section) in accordance with applicable standards?	Yes

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5. Labor		
5.1 Postings		
5.1.1	Are labor-related notices posted in language(s) understood by employees and in accordance with other applicable standards?	Yes
5.2 Privacy		
5.2.1	Does the facility maintain privacy of employee's records by keeping employees' personal data confidential and limiting access to such data to authorized staff?	Yes
5.3 Hiring & Termination		
5.3.1	Are employees aware of their employment terms in accordance with applicable standards?	Yes
5.3.2	Does the facility provide employees with a document that outlines the employment terms in accordance with applicable standards?	Yes
5.3.2.a	Does the facility keep and maintain the written employment terms in accordance with applicable standards?	Yes
5.3.2.b	Does the content of the document that outlines the employment terms correspond to employee testimony and meet applicable standards?	Yes
5.3.2.c	Is the written document that outlines the employment terms in a language understood by each respective employee?	Yes
5.3.3	Is employee classification (e.g. salaried, temporary, apprentice) in accordance with applicable standards?	Yes
5.3.4	Are employee probation periods in accordance with applicable standards?	Yes
5.3.5	Does the facility maintain documentation that indicates employees' eligibility to work in accordance with applicable standards?	Yes
5.3.6	Does the facility request original, legal documentation to verify the employee's age at the time of hire?	Yes
5.3.6.a	Does the facility have a process to identify the validity of that legal documentation?	Yes
5.3.6.b	Are copies of legal documentation kept and maintained in accordance with applicable standards?	Yes
5.3.7	Is termination of employment and maintenance of termination records executed in accordance with applicable standards?	Yes
5.3.8	Are any other hiring and termination practices (not already covered in this section) in accordance with applicable standards?	Yes
5.4 Remuneration		
5.4.1	Does the facility maintain payroll records?	Yes
5.4.1.a	Payroll period(s) reviewed for assessment sample:	February 2019, March 2019 and April 2019
5.4.1.b	Are reviewed payroll records maintained in accordance with applicable standards?	Yes

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5. Labor		
5.4.2	Does the facility maintain records on production output for employees who are e.g. paid by piece or task in accordance with applicable standards?	Yes
5.4.2.a	What is the method of recording production output?	Daily products sheet
5.4.3	Does the information in reviewed payroll records, records on production output and interviews correspond?	Yes
5.4.4	Is the legal minimum wage guaranteed to employees in accordance with applicable standards?	Yes
5.4.5	Lowest legal regular hourly rate (USD conversion)	RMB 10.34 (USD 1.62)
5.4.6	Highest regular hourly rate paid by the facility (USD conversion)	RMB 22.98 (USD 3.60)
5.4.7	Lowest regular hourly rate paid by the facility (USD conversion)	RMB 12.06 (USD 1.89)
5.4.8	Average regular hourly rate paid by the facility (USD conversion)	RMB 17.52 (USD 2.74)
5.4.9	Average rate of pay (regular and overtime) per legal pay period paid by the facility (USD conversion)	RMB 3550 (USD 556.19)
5.4.10	Are employees compensated at the rate dictated by the applicable standard based on their classification (e.g. salaried employee, temporary, apprentice)?	Yes
5.4.11	Are employees paid for "down time" in accordance with applicable standards?	Yes
5.4.12	For piece rate workers, is production quota determined through a government study, time and motion study, or other study?	N/A. No employee was paid by piece rate.
5.4.13	Is the payment method in accordance with applicable standards?	Yes
5.4.14	Are wages paid directly to the employee or an employee-controlled account?	Yes
5.4.15	Is the wage policy, such as pay date and pay rates, communicated to employees?	Yes
5.4.16	Is the pay frequency in accordance with applicable standards?	Yes
5.4.17	Is the time of payment in accordance with applicable standards?	Yes
5.4.18	Is overtime paid in accordance with applicable standards?	Yes
5.4.19	Does the facility provide employees with an understandable wage statement that, at minimum, includes regular and overtime hours worked, regular and overtime earnings, and deductions in accordance with applicable standards?	Yes
5.4.20	Are deductions from employee wages in accordance with applicable standards?	Yes
5.4.21	Are employees provided equipment used in the process of employment (e.g. tools, uniforms, PPE) paid for by the facility in accordance with applicable standards?	Yes
5.4.22	Are any other remuneration practices (not already covered in this section) in accordance with applicable standards?	Yes
5.5 Benefits		

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5. Labor		
5.5.1	Do employees receive additional remuneration (e.g. bonuses, incentives, allowances)?	Yes
5.5.2	Do employees receive applicable benefits in accordance with applicable standards?	<p>No</p> <p>New finding: There are 36 employees (including 3 reaching retired ages and 10 newly hired employees) in the facility, as per the social insurance receipts of April 2019, 8 employees are provided with retirement, medical, unemployment, child-bearing and work-related injury insurance.</p> <p>China Social Insurance Law, Article 10, 23, 33, 44, 53</p>
5.5.3	Do employees receive non-monetary benefits not required by applicable standards?	Yes
5.6 Working Hours		
5.6.1	Standard hours of operation	Two shifts in the injection molding section: 7:30 am to 3:30 pm/3:30 pm to 11:30pm; one shift in other sections: 7:30 am to 4:30 pm
5.6.2	Number and duration of breaks during work day	Once, from 11:00 am to 12:00 pm
5.6.3	Does the facility maintain time records?	Yes
5.6.3.a	Time record period(s) reviewed for assessment sample:	February 2019, March 2019, April 2019, May 2019 and June 2019
5.6.3.b	Are time records maintained in accordance with applicable standards?	Yes
5.6.4	Are employees working regular working hours (daily, weekly, monthly, other) in accordance with applicable standards?	Yes
5.6.5	Highest number of regular hours per week permitted under law	40
5.6.6	Highest number of regular hours per week worked at the facility	40
5.6.7	Lowest number of regular hours per week worked at the facility	40
5.6.8	Average number of regular hours per week worked at the facility	40
5.6.9	Are employees working overtime hours (daily, weekly, monthly, other) in accordance with applicable standards?	<p>No</p> <p>New finding: Monthly overtime exceeded legal 36 hours for all sampled employees in March 2019, April 2019 and May 2019, which is up to 64 hours, 48 hours and 50 hours respectively.</p> <p>PRC Labor Act (1995), Article 41</p>
5.6.10	Does the facility have an overtime waiver in accordance with applicable standards?	N/A
5.6.11	Highest number of daily overtime hours permitted under law:	3

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5.6.12	Highest number of daily overtime hours worked at the facility:	2
5.6.13	Highest number of overtime hours per week permitted under law:	N/A
5.6.14	Highest number of overtime hours per week worked at the facility:	16
5.6.15	Lowest number of overtime hours per week worked at the facility:	0
5.6.16	Average number of overtime hours per week worked at the facility:	8
5.6.17	Highest number of monthly overtime hours permitted under law:	36
5.6.18	Highest number of monthly overtime hours worked at the facility:	64
5.6.19	Are employees informed about and understand overtime obligations prior to employment and prior to working the overtime shift?	Yes
5.6.20	Do employees receive rest breaks during the day in accordance with applicable standards?	Yes
5.6.21	Do employees receive daily rest in accordance with applicable standards?	Yes
5.6.22	Do employees receive weekly rest in accordance with applicable standards?	Yes
5.6.23	Maximum number of consecutive days worked permitted by law:	12
5.6.24	Maximum number of consecutive days worked at the facility:	6
5.6.25	Does the facility prevent employees from taking work home to finish the task or quota?	Yes
5.6.26	Does the facility follow provisions on the number of women's working hours in accordance with applicable standards?	Yes
5.6.27	Are any other working hour practices (not already covered in this section) in accordance with applicable standards?	Yes
5.7 Forced, Bonded, Indentured, Slave, Prison Labor		
5.7.1	Do actual employment terms meet the job expectations promised at time of recruitment?	Yes
5.7.2	Are employees free from paying charges for the purpose of recruitment or employment, including fees (e.g. recruitment, transportation), taxes, deposits or bonds (e.g. training bond)?	Yes
5.7.3	Are employees free of debt due to recruitment or employment?	Yes
5.7.4	Do employees maintain custody of their original documents (e.g. passport, work permit, birth certification, official ID card, driver's license, family record book)?	Yes
5.7.5	Are employees free to resign employment in accordance with applicable standards?	Yes
5.7.6	Are employees free from threats of illegal terminations (e.g. threats of repatriation for foreign workers)?	Yes

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5. Labor		
5.7.7	Are employees guaranteed freedom of movement during and after working hours?	Yes
5.7.8	Does the facility avoid withholding wages or requiring deposits of any kind during the employment relationship in accordance with applicable standards?	Yes
5.7.9	Are employees free from daily production quota requirements prior to leaving the facility?	Yes
5.7.10	Do employees voluntarily agree to overtime and is mandatory overtime administered in accordance with applicable standards?	Yes
5.7.11	Is mandatory overtime permitted by law?	No
5.7.12	Does the facility avoid involving convicts in its production processes (not limited to processes of client)?	Yes
5.7.13	Does the facility avoid any other abusive employment practices (not already covered in this section) that are not in accordance with applicable standards?	Yes
5.8 Child Labor, Young Workers, Apprentices/Trainees		
5.8.1	Facility minimum hiring age standard (yrs):	16 years old with restriction
5.8.2	Are employees currently employed at an age in accordance with applicable standards?	Yes
5.8.3	At the time of hire, was the age in accordance with applicable standards?	Yes
5.8.4	Are working conditions (e.g. task, hours) for employees under the age of 18 in accordance with applicable standards?	N/A
5.8.5	Are required medical tests before and during employment conducted for employees under the age of 18 in accordance with applicable standards?	N/A
5.8.6	Does the facility maintain permits, licenses, parental consent forms and other documents related to the employment of apprentices, trainees and employees under the age of 18 in accordance with applicable standards?	N/A
5.8.7	Are identified apprenticeship/ traineeships administered by the facility in accordance with applicable standards?	N/A
5.8.8	Does the facility have a system in place to remediate situations where an employee is discovered to have not been hired in accordance with applicable standards on minimum age?	Yes
5.8.9	Are any other child, young worker, apprentice, and trainee employment practices (not already covered in this section) in accordance with applicable standards?	Yes
5.9 Abuse, Coercion, Harassment, Disciplinary Action		
5.9.1	Are employees free from any form of abuse, harassment, coercion or corporal punishment?	Yes
5.9.2	Are employees free from pressure, coercion, or threats by any means to maintain them in employment?	Yes
5.9.3	Were employees free from pressure, coercion, or threats by any means during recruitment?	Yes

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5. Labor		
5.9.4	Does the facility maintain procedures on disciplinary action?	Yes
5.9.5	Are disciplinary practices administered in accordance with applicable standards?	Yes
5.9.6	Are security practices administered in accordance with applicable standards?	Yes
5.9.7	Are any other disciplinary-related practices (not already covered in this section) in accordance with applicable standards?	Yes
5.10 Discrimination		
5.10.1	Are employees free from discrimination in accordance with applicable standards?	Yes
5.10.2	Are tests (e.g. medical, aptitude) executed for hire/recruitment in accordance with applicable standards?	Yes
5.10.3	Does the facility maintain procedures to prohibit and prevent discriminatory practices?	Yes
5.10.4	Are employees hired and maintained in employment regardless of pregnancy status or marital status?	Yes
5.10.5	Is birth control forbidden as a condition for hiring and maintaining employment?	Yes
5.10.6	Does the facility follow provisions on women's employment terms during pregnancy, maternity leave and return from maternity leave in accordance with applicable standards?	Yes
5.10.7	Does the facility accommodate the beliefs of employees (e.g. head dress, prayer breaks) as far as practicable?	Yes
5.11 Freedom of Association and Collective Bargaining		
5.11.1	Are employees free to associate and collectively bargain in accordance with applicable standards	Yes
5.11.2	Where the ability to associate and collectively bargain are legally restricted, do employees have access to alternative means in accordance with applicable standards?	Yes
5.11.3	Are employees members of a union?	No
5.11.4	Are employees subject to a collective bargaining agreement?	No
5.11.5	Are employees members of a workers' organization?	Yes
5.11.5.a	Is a representative from a workers' organization located at the facility?	Yes
5.11.6	Do employees have any worker representation apart from unions or workers' organizations?	Yes
5.11.7	Are activities (e.g. elections, meetings) associated with workers' representation (union, workers' organization and other representation) permitted by the facility in accordance with applicable standards?	Yes
5.11.8	Are any other freedom of association and collective bargaining practices (not already covered in this section) in accordance with applicable standards?	Yes

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6. Health & Safety		
6.1 Licenses/Permits/Certifications		
6.1.1	Is the facility in possession of H&S permits, licenses and/or certifications that are current and in accordance with applicable standards?	Yes
6.1.2	Is the facility in possession of forklift, boiler, generator, lift (elevator), compressor, pressure vessel, crane, and industrial refrigerator permits, licenses and/or certifications that are current and in accordance with applicable standards?	Yes
6.1.3	Does the facility maintain forklift driver, boiler, lift (elevator), crane, pressure vessel operator licenses in accordance with applicable standards?	Yes
6.2 Postings		
6.2.1	Are H&S notices kept on file, posted in the facility and in language(s) understood by majority of employees in accordance with applicable standards?	Yes
6.3 Risk Assessment		
6.3.1	Does the facility conduct H&S risk assessments in accordance with applicable standards?	Yes
6.4 Risk Management		
6.4.1	Does the facility maintain management plans to mitigate or respond to H&S risks in accordance with applicable standards?	Yes
6.5 Governance		
6.5.1	Does the facility have personnel responsible for management of H&S policies and procedures in accordance with applicable standards?	Yes
6.5.2	Does the facility have an H&S committee that operates and documents activities in accordance with applicable standards?	Yes
6.6 Education		
6.6.1	What health and safety trainings does the facility provide its employees and how often are they conducted?	PPE training, machine training, safety training and so on, twice per year.
6.7 Emergency		
6.7.1	Types of firefighting equipment used by facility:	<input type="checkbox"/> Fire extinguishers <input type="checkbox"/> Fire hoses <input type="checkbox"/> Fire alarms
6.7.1.a	Number of firefighting equipment by type reported by facility in assessed areas:	<input type="checkbox"/> Fire extinguishers 30 <input type="checkbox"/> Fire hoses 10 <input type="checkbox"/> Fire alarms 3
6.7.2	Are fire extinguishers present and maintained in accordance with applicable standards?	Yes

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6. Health & Safety		
6.7.3	Are emergency alarms present, maintained and detectable by employees in accordance with applicable standards?	Yes
6.7.4	Are secondary emergency exits present and located in accordance with applicable standards?	Yes
6.7.5	Are emergency exits maintained in accordance with applicable standards?	Yes
6.7.6	Are emergency exit pathways present and maintained in accordance with applicable standards?	Yes
6.7.7	Are evacuation plans present, posted and maintained in accordance with applicable standards?	Yes
6.7.8	Are emergency assembly points present and maintained in accordance with applicable standards?	Yes
6.7.9	Is emergency lighting present and maintained in accordance with applicable standards?	Yes
6.7.10	Are evacuation drills conducted and documented in accordance with applicable standards?	Yes
6.7.11	Is there a local law requiring evacuation drills?	Yes – twice per year
6.7.12	Frequency in which assessed facility conducts evacuation drills?	Twice per year
6.7.13	Shifts that participate in evacuation drills:	All shifts
6.8 First Aid		
6.8.1	Does the facility provide first aid equipment and is the observed equipment, designated, accessible and maintained in accordance with applicable standards?	Yes
6.8.2	Are employees trained and available to administer first aid procedures in accordance with applicable standards?	Yes
6.8.3	Does the facility have staff available to administer medical care in accordance with applicable standards?	N/A
6.8.4	Does the facility provide a clinic and maintain medical records in accordance with applicable standards?	N/A
6.8.5	Do employees undergo medical tests related to the job function and are records of medical tests maintained in accordance with applicable standards?	No New finding: No occupational health checks are provided to employees exposed to occupational hazards, such as dust and noise. PRC Law on Prevention and Control of Occupational Diseases (2002) Amendment (2016), Article 35
6.8.6	Does the facility manage medical waste in accordance with applicable standards?	N/A
6.9 Accident		
6.9.1	Does the facility maintain records of employee accidents (e.g. injury, death) and facility accidents (e.g. equipment malfunction) in accordance with applicable standards?	Yes

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6. Health & Safety		
6.9.2	Does the facility investigate, address and report employee and facility accidents in accordance with applicable standards?	Yes
6.9.3	Has the facility been free of fatalities and accidents that have resulted in loss of a body part in the past 12 months?	Yes
6.10 Personal Protective Equipment		
6.10.1	Has the facility established a policy/ code governing personal protective equipment identification, use, maintenance and training?	Yes
6.10.2	Does the facility communicate and train employees (all levels) on the facility's personal protective equipment policy in accordance with applicable standards?	Yes
6.10.3	Are employees using the designated personal protective equipment in accordance with applicable standards?	No New finding: One employee who working in the noisy condition is not wearing the provided earplugs during work. PRC Work Safety Law (2002), Amendment (2014), Article 42
6.10.4	Does the facility maintain the designated personal protective equipment in accordance with applicable standards?	Yes
6.11 Chemicals and Hazardous Materials		
6.11.1	The facility does not use or maintain (store) chemicals or hazardous materials on site.	Yes
6.12 Equipment Safety		
6.12.1	Has the facility established a policy/ code governing equipment safety identification and maintenance in accordance with applicable standards?	Yes
6.12.2	Does the facility communicate and train employees (all levels) on the facility's equipment safety policy in accordance with applicable standards?	Yes
6.12.3	Does the facility maintain the designated equipment safety mechanisms in accordance with applicable standards?	Yes
6.12.4	Does the facility maintain inspection records for forklifts, boilers, generators, lifts (elevators), compressors, pressure vessels, cranes, and industrial refrigerators in accordance with applicable standards?	Yes
6.12.5	Is observed equipment at the facility operating and equipped with safety mechanisms in accordance with applicable standards?	Yes
6.13 Electrical		
6.13.1	Are electrical panels, wiring and outlets maintained in accordance with applicable standards?	No

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6. Health & Safety		
		New finding: One electrical control panel viewed is temporarily blocked by materials. Minimum Recommendation
6.14 Noise		
6.14.1	Are noise levels monitored in accordance with applicable standards?	Yes
6.15 Lighting		
6.15.1	Does the facility provide access to and maintain workplace illumination in accordance with applicable standards?	Yes
6.16 Ventilation and Temperatures		
6.16.1	Does the facility maintain windows or ventilation systems in the work environment in accordance with applicable standards?	Yes
6.17 Potable Water		
6.17.1	Do employees have unlimited and free access to potable water?	Yes
6.18 Sanitation		
6.18.1	Is general housekeeping maintained in accordance with applicable standards?	Yes
6.18.2	Do employees have unlimited and free access to toilet facilities?	Yes
6.18.3	In observed areas, does the facility have sanitary and maintained restroom/ shower facilities in accordance with applicable standards?	Yes
6.19 Food Preparation/ Canteen		
6.19.1	Is the food preparation area/ canteen operated and maintained in accordance with applicable standards?	N/A
6.20 Child Care		
6.20.1	Is child care facility located and maintained in accordance with applicable standards?	N/A
6.20.2	Is the facility work floor free of individuals under the age of 18 who are not employed by the facility?	Yes
6.21 Dormitory		
6.21.1	The facility does not provide accommodation for employees.	Yes
6.22 Other Practices		
6.22.1	Are any other H&S practices (not already covered in this section) in accordance with applicable standards?	Yes
7. Environment		
7.1 Licenses/ Permits/Certifications		
7.1.1	Does the facility have a policy or system in place to identify and maintain applicable environmental permits/ licenses/ certifications?	Yes

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7. Environment		
7.2 Postings		
7.2.1	Are environmental notices kept on file, posted in the facility and in language(s) understood by majority of employees?	Yes
7.3 Risk Assessment		
7.3.1	Does the facility conduct assessments on environmental risks in accordance with applicable standards?	Yes
7.4 Risk Management		
7.4.1	Does the facility maintain management plans related to those environmental risks to reduce or respond to environmental impacts to land, water, and air in accordance with applicable standards?	N/A. This is one man day audit.
7.5 Education		
7.5.1	What environmental trainings does the facility provide its employees and how often are they conducted?	N/A. This is one man day audit.
7.6 General Waste		
7.6.1	Main types of waste produced at the facility:	General living waste and plastic
7.6.2	Is the facility in possession of permits and licenses for onsite waste disposal that are current and in accordance with applicable standards?	Yes
7.6.3	Does the facility maintain an outdoor environment free of uncontrolled refuse?	Yes
7.6.4	Does the facility maintain a waste inventory and tracking system in accordance with applicable standards?	Yes
7.7 Hazardous Waste		
7.7.1	The facility does not appear to generate, report any generation, or attest to any generation of hazardous waste.	Yes
7.8 Air Emissions		
7.8.1	The facility does not appear to generate, report any generation, or attest to any generation of air emissions.	Yes
7.9 Waste Water		
7.9.1	The facility does not appear to generate, report any generation, or attest to any generation of waste water.	N/A. This is one man day audit.
7.10 Noise Pollution		
7.10.1	The facility does not appear to generate, report any generation, or attest to any generation of ambient noise.	N/A. This is one man day audit.
7.11 Other Practices		
7.11.1	Are any other practices related to environmental impact (not already covered in this section) in accordance with applicable standards?	Yes

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8. Ethics and Business Integrity		
8.1 UL Integrity		
8.1.1	Was the UL Statement of Integrity accepted and signed?	Yes
8.1.1.a	By whom was the UL Statement Integrity signed?	FAN Zhaohui/General Manager
8.2 Bribery Attempt		
8.2.1	Was the assessment free of any bribery attempt?	Yes
8.3 Bribery and Facilitation Payments		
8.3.1	Has the facility established a policy/ code governing bribery and facilitation payments in accordance with applicable standards?	Yes
8.3.2	Are employees who refuse to participate in bribery and facilitation payments not adversely affected (e.g. demotion, termination)?	Yes

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9. Pictures



Factory name



Factory outlook



Fire equipment



First aid kit



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9. Pictures

Emergency exit with exit sign & light and fire alarm



Injection molding section



Finished-product warehouse



Products and label

Assembly section



Accessory warehouse

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9. Pictures



Labelled electrical control panel



Evacuation plot plan



Business license



Employee not wearing provided earplugs



Blocked control panel