

Workplace Conditions Assessment Report

Measured Results — Improved Performance



CASESTRY, LLC.

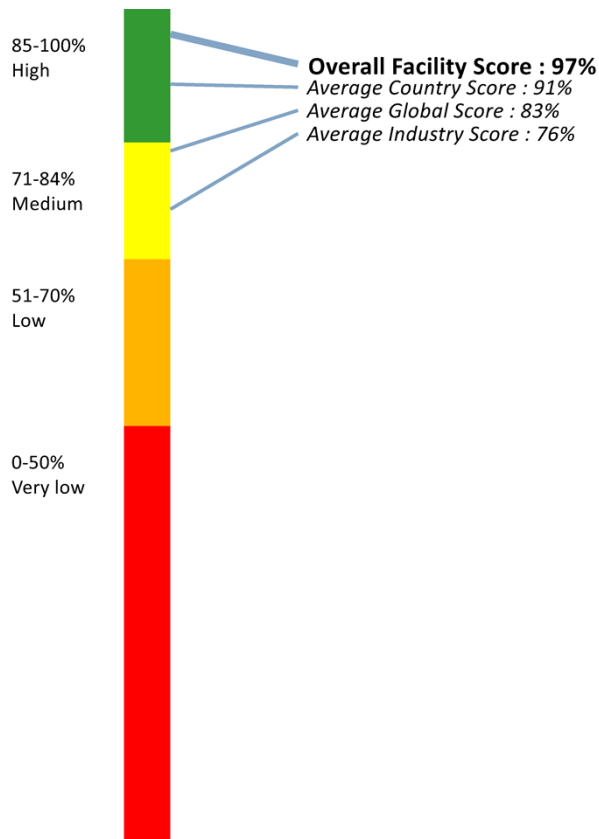
GENERAL INFORMATION

Overall Facility Score: 97%

Reg No:	F_IAR_181072	Country:	United States
Audit Date:	25-Jul-2023	Assessment Stage:	Initial
Last Audit:	NA	Schedule Type:	Announced
Mandays:	1	Audit Firm:	Intertek

WORKPLACE PERFORMANCE INDEX AND SUMMARY

Participating facilities: 10903



Assessment area	Score results	Number of non-compliances by rating				
		Zero Tolerance	Major	Moderate	Minor	No Score
Overall	97%	-	-	1	1	-
Labor	100%	-	-	-	-	-
Wages & Hours	85%	-	-	1	-	-
Health & Safety	100%	-	-	-	-	-
Management Systems	96%	-	-	-	1	-
Environment	100%	-	-	-	-	-

The Performance Index Bar is used to measure and benchmark the facility's score against the other population of audit results in the database using a common scoring algorithm

A. FACILITY PROFILE

A1. FACILITY INFORMATION

Facility Name:	Casestry, LLC.	Facility Legal Status:	Private
Facility Legal Name:	Casestry, LLC.	Year facility began operations:	2017
Audit Location:	420 E. German Street	Located in special economic zone:	No
City:	Herkimer	Person responsible for overall social compliance issues:	Jared Marquissee, COO
Country:	United States	Valid certificate for social compliance certification program:	Not Applicable
Contact Name:	Mary Snell	Vendor Name:	None
Contact Title:	Director of Human Resource and Employee Wellness		
Industry:	Other		
Service Providers:	Not Applicable		
Security systems in place:	Building has protected access. Employees must use an assigned entry card. visitors must use a call button and number to reach the company they wish to visit and request entrance.		
Building Description:	Company is located at 420 E. German Street, Herkimer New York 13350. They lease a 15,000 square feet of the third floor. Facility is 3 stories and is constructed of concrete and timber with a fully brick façade. Leased portion of the building includes production, warehouse, breakrooms, offices, and restrooms. Multiple other companies lease space within the building.		
Special building type:	Facility is in a multi-story building housing multiple unrelated business types		

A2. PRODUCTION INFORMATION

Products manufactured / Services provided:	Company produces customized phone cases and drinkware	Time record system(s) used:	Others: Employees record their working hours using a computer kiosk and ADP software in the facility.
Production process/ Service elements:	3D dye - sublimation for mobile cases	Chemicals or hazardous materials on-site:	Yes Company uses inks and cleaning supplies. No hazardous chemical or material is stored or produced at the facility.
Production capacity a week:	14000 pieces	Current production/Services for client:	Customized phone cases and drinkware
Total number of machines:	40		
Main machine types:	Single Cavity Machines		
Shifts and Operating hours:	1 shift Company is open for business from 6:30 to 22:00 Sunday through Saturday except for Holidays. Currently, the company has one shift and employees work Monday through Friday, 6:00 - 14:30. Overtime hours can be worked on Saturday and/or Sunday. Hourly employees receive two 15-minutes paid breaks and one 30-minutes unpaid lunch break per shift.		

A3. EMPLOYEE INFORMATION

Employee nationalities/provinces :	Not applicable. The company does not employ any migrant or foreign laborers.	Languages spoken in the facility :	English
Union/Worker committee :	Not Applicable	Management and employees speak same language :	Yes
Hires through employment agent :	No		
Recruitment and hiring process :	The company uses the online job board Indeed and word-of-mouth to recruit new workers. They do not use any temporary or agency workers. They only hire local workers, no foreign or migrant workers. They also do not hire prison labor, interns or apprentices, sub-contractors, home-workers or any worker under the age of eighteen. No worker is charged a fee at any point during the hiring process. All workers receive an offer letter which includes a job description, pay rate, and that their pay will be weekly. They are told that they will be on a 90-day training and probationary period and that their employment is at-will.		

Range	Female	Male	Homeworkers	Juveniles
50 or less	3	7	0	0

	Permanent	Temporary	Agency	Total
Local	10	0	0	10
Migrant	0	0	0	0
Foreign	0	0	0	0
Total	10	0	0	10

A4. SUBCONTRACTOR INFORMATION

No subcontractor information given

A5. GENERAL INFORMATION

Audit was conducted in 1 day by 1 auditor. Facility is located at 420 E. German St, Herkimer, NY, 13350 and is leased. General Photos were allowed. Managers were well organized and prepared. They were hospitable, knowledgeable, and friendly. They provided information as requested. 3 of 10 employees were interviewed. All employees were happy with their jobs, their company, and their managers. All three described the company as family oriented and everyone cared for each other. Company has corporate legal counsel available for advice and notice of legal changes. Management stated that their peak season is late October through early January. 3 pay periods were reviewed including Current pay period 07/09/2023-07/15/2023, Peak pay period 12/11/2022-12/17/2022, and Non-peak pay period 07/31/2022-08/06/2022. There are no prison or migrant laborers, interns, apprentices, homeworkers, temporary agency workers or subcontractors at the facility. There is no canteen. Worker housing and transportation is not provided. There was no evidence of discrimination, harassment, or verbal abuse at this facility. There was no evidence of transshipment.

A6. AUDIT PROCESS

Auditor Information

Auditors APSCA ID : **Primary: Mildred Irwin**
ID#: 21700552

Auditors APSCA ID : **Secondary: NA**
ID#: NA

Audit pay period provided for review

Records	From	To
12	16-Jul-2022	15-Jul-2023
12	16-Jul-2022	15-Jul-2023

Employee interview sampling

Individual	3
Group	0 groups of 0
Total interviewed	3

Special Comments: **N/A**

Payroll and attendance records sampling

Period	From	To	Peak Season	Records Reviewed
Current Period	09-Jul-2023	15-Jul-2023	No	3
Period 2	11-Dec-2022	17-Dec-2022	Yes	2
Period 3	31-Jul-2022	06-Aug-2022	No	2
Total				7

Other records reviewed

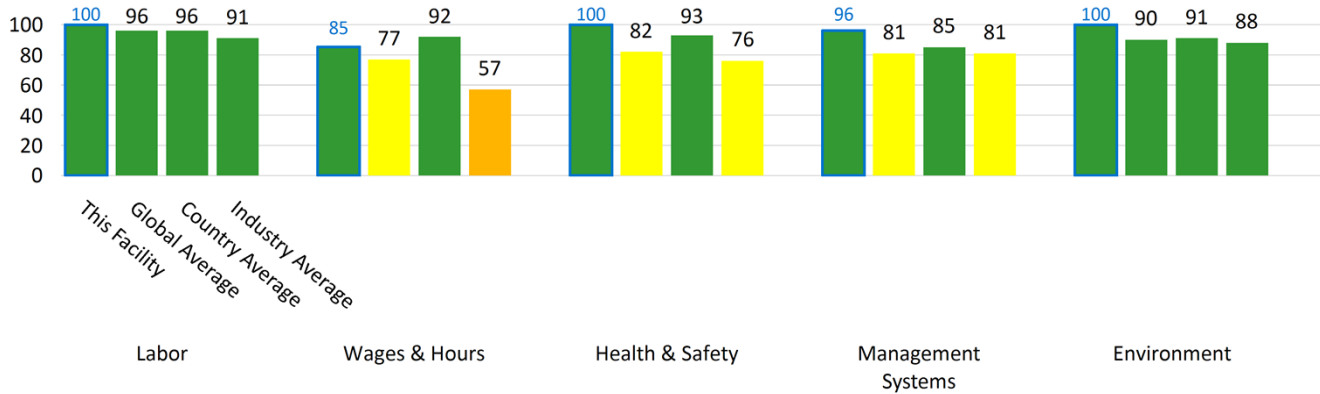
Personnel records	Employment contracts
Legal Permits	Social insurance documentation
Employee leave register	Machine maintenance records

Others: 1 Evacuation map 1 Lease agreement with Arc Herkimer 1 Minutes of the Annual Meeting of Members of LLC 11/09/2017 1 LOTO procedure 1 OSHA 300A/300 2023 0 recordables 0 lost days 1 OSHA 300A/300 2022 0 recordables 0 lost days 1 Emergency Response Plan including emergency response coordinator, first aid team, evacuation team 1 Business Continuity Plan dated 05/22/2023 1 PPE Policy 1 Safety Committee Roles and Responsibilities 1 Safety Committee Meeting Minutes 04/19/2023 1 Safety Committee Meeting Minutes 03/29/2023 10 Annual Noise Monitoring Field Record Sheets all locations dated 07/19/2023 2 Quarterly temperature monitoring field record sheets 2023 1 2022 Safety Checklist 1 2023 Safety Checklist 1 Fire Drill Record 11/11/2023 first shift (only shift) 1 Inspection, Testing and Maintenance of Wet Pipe Fire Sprinkler Systems, H.J. Brandeles Co. Mechanical Contractors, 08/03/2022 (Annual) 1 System record of inspection and testing Fire Alarm and Supplemental Devices 06/07/2023 by REM Fire Systems, Inc. 1 Emergency lighting, Fire Alarm 1 Hydraulic Elevator periodic inspection report performed by ATIS Elevator Inspection 04/24/2023 1 Employee training checklist 1 At-Will employment policy 1 Anti-discrimination policy 1 Sexual Harassment Policy 1 Health NY Annual Re-Certification for Small Employers 02/14/2023 1 Voluntary benefits for new clients in Implementation FY22 10 Benefits documents 1 Group Life insurance policy 1 Group Vision insurance policy 1 Group Dental insurance policy 3 Job Risk/Hazard Assessments 6 ADP Payroll service contracts and documents 1-941 Q2 2022 1-941 Q1 2022 1 Employee Manual

B. KEY PERFORMANCE METRICS

B1. COMPARISON BENCHMARK

Current performance — Global average, United States average, Other average



The Comparison Benchmark shows at a glance how this facility is performing in each category in comparison to all other facilities in the database globally, by country and/or industry using the same scoring algorithm.

B2. PERFORMANCE TREND ANALYSIS

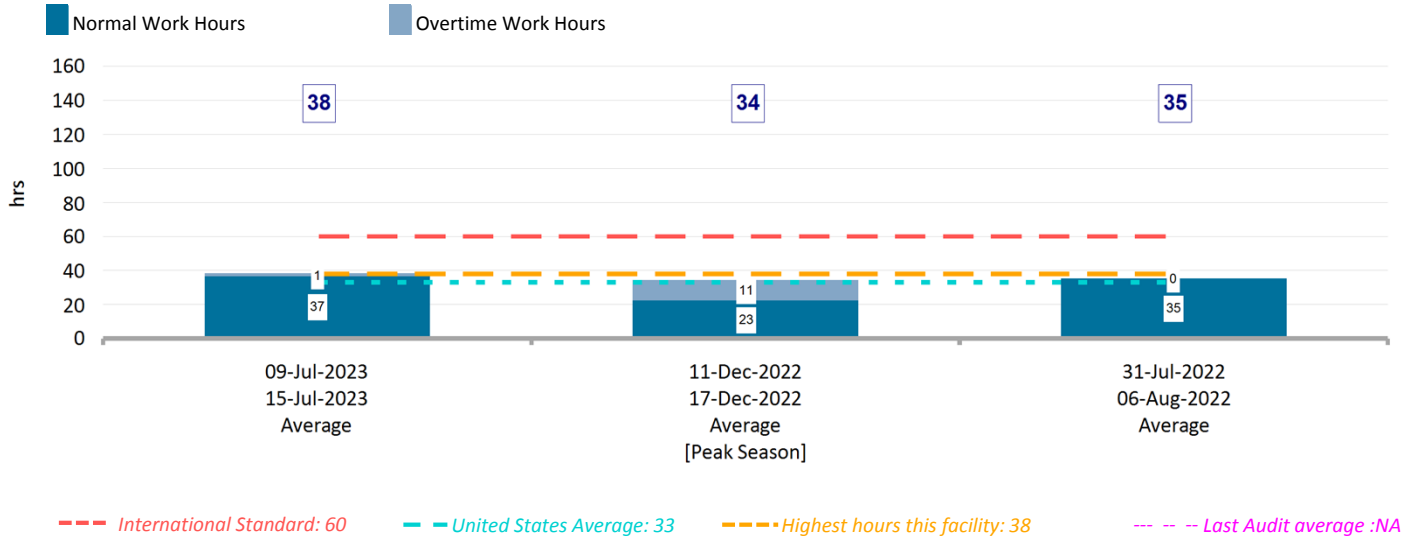
Section Name	Current (25-Jul-2023)	Last (NA)	First (NA)	Change (Current-Last)	Change (Current-First)
Labor	100	NA	NA	NA	NA
Wages & Hours	85	NA	NA	NA	NA
Health & Safety	100	NA	NA	NA	NA
Management Systems	96	NA	NA	NA	NA
Environment	100	NA	NA	NA	NA
Overall Score	97	NA	NA	NA	NA

▲ Advancers ■ Constant ▼ Decliner

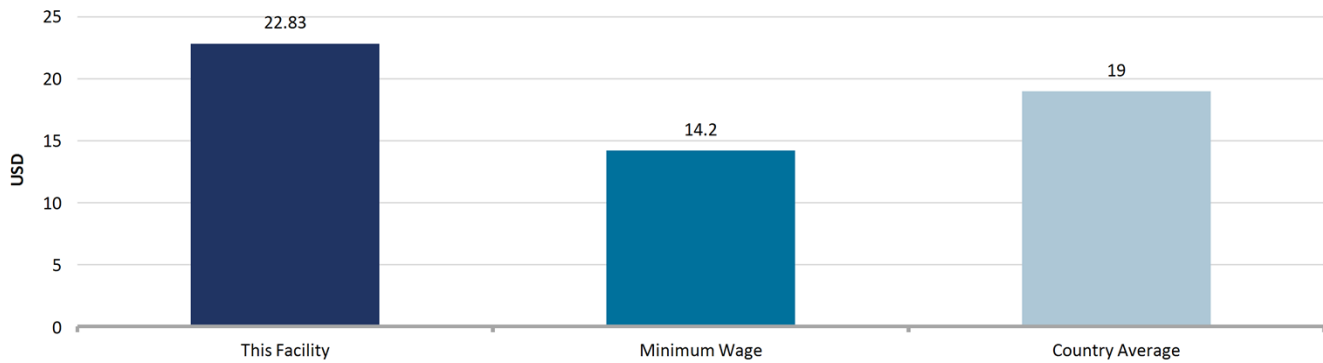
Showcase of the percentage of improvement (or decline) in performance over time for this facility. The current audit result is compared against the last audit completed at this same facility which is subsequently compared to the very first audit done at the facility.

B3. WORKING HOURS AND WAGES

Average total hours worked Weekly



Average wages paid in local currency (USD)



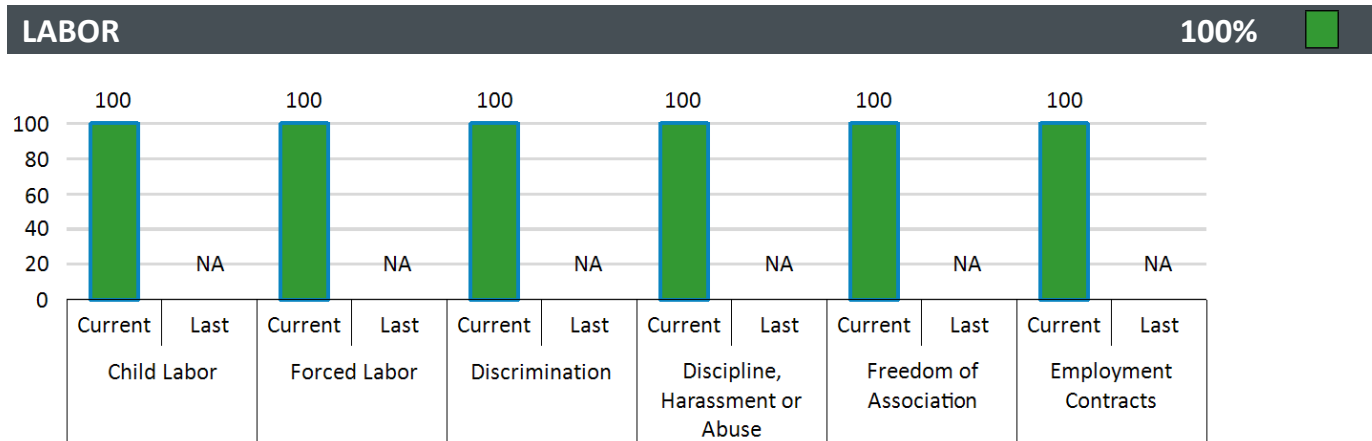
Provincial and country averages are based on average wages paid since past two years.

Special wage circumstances: NA

C. PERFORMANCE DETAILS

Current (25-Jul-2023) Last (NA)

C1. LABOR

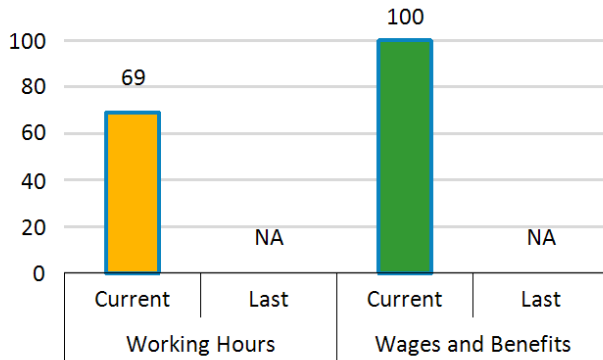


Labor Summary: The company has 10 employees, 3 females and 7 males. All workers are US citizens or permanent residents and must prove that they are at least 18 years old and have the legal right to work in the United States. The company uses the online job board Indeed and word-of-mouth to recruit new workers. They do not use any temporary or agency workers. They only hire local workers, no foreign or migrant workers. They also do not hire prison labor, interns or apprentices, sub-contractors, home-workers, or any worker under the age of eighteen. No worker is charged a fee at any point during the hiring process. All workers receive an offer letter which includes a job description, pay rate, and that their pay will be weekly. They are told that they will be on a 90-day training and probationary period and that their employment is at-will.

C2. WAGES & HOURS

WAGES & HOURS

85%



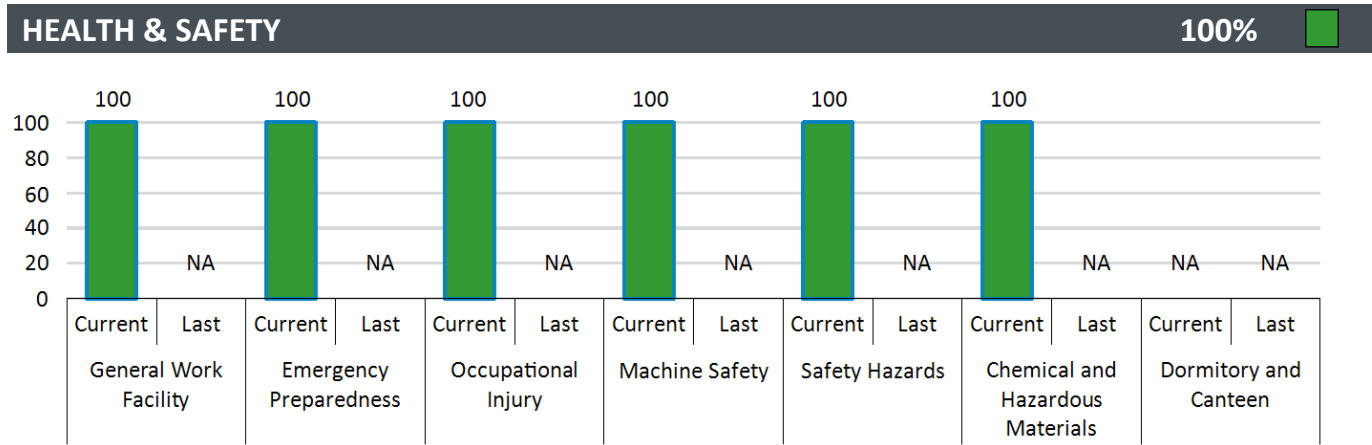
Wages and Hours Summary: The company is open for business from 6:30 to 22:00 Sunday through Saturday except for Holidays. Currently, the company has one shift and employees work Monday through Friday, 6:00 - 14:30. Overtime hours can be worked on Saturday and/or Sunday. Hourly employees receive two 15-minute paid breaks and one 30-minute unpaid lunch break per shift. Employees occasionally work in excess of 60 hours per week, however they receive at least one day off in seven. The average regular weekly hours worked in the sample was 31.70 and the average weekly overtime hours worked in the sample was 3.68. The highest number of hours worked in one week in the sample was 61.10, the lowest was 5.17. The company appears to adhere to all State and Federal labor laws. Federal and State required labor law posters are posted in a common area. The lowest starting hourly wage is \$20.00 USD. This is higher than the minimum State of New York hourly rate of \$14.20 USD and the Federal hourly minimum wage of \$7.25 USD. The highest wage is \$26.50 USD per hour and the average hourly wage is \$23.25 USD. The company does not pay any piece rates. Deductions include Federal Income Tax, Social Security Tax, Medicare tax, and NY state income Tax. Deductions are never taken for disciplinary action. All permanent employees are paid weekly via direct deposit. All employees receive tow-15 minute paid and one 30-minute unpaid meal break per shift. All hours worked in excess of 40 hours per week are paid at 150% of their regular hourly rates. Management stated that their peak season is late October through early January. 3 pay periods were reviewed including Current pay period 07/09/2023-07/15/2023, Peak pay period 12/11/2022-12/17/2022, and Non-peak pay period 07/31/2022-08/06/2022.

Sub Section: Working Hours

Status	Findings	% Global freq of compliance
● Moderate	<p>O0630: The total weekly working hours (normal & overtime) are over 60 but less than 72 hours.</p> <p>Past occurrences at this facility: NA</p> <p>Auditor's comment Of 7 payroll records reviewed during 3 pay periods (3 from Current, 2 from Peak, and 2 from Non-Peak), 1 employee worked 61.10 hours during the peak season.</p>	79%



C3. HEALTH & SAFETY

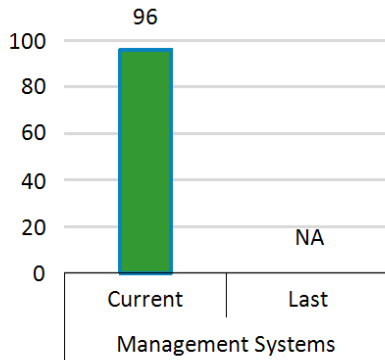


Health & Safety Summary: Facility is noticeably clean, well organized and maintained. A Break room and potable water is available to employees. There are sufficient restrooms which are clean and stocked with supplies. The company performs and documents annual fire drills for all employees. There are no forklift drivers at this facility. Facility has a fire alarm system and sprinkler system which are all maintained regularly. There are sufficient fire extinguishers and workers are trained to use them. Fire extinguishers are maintained monthly, and they are serviced annually. Maintenance documents were reviewed. The buildings have sufficient emergency exits and emergency lighting. Evacuation maps are posted in each major room of the facility. Company has sufficient first aid supplies and eye wash stations. All necessary personal protective equipment is provided to employees at no cost. Company records all accidents and injuries and investigates cause. The 2022 OSHA 300A is posted in the facility.

C4. MANAGEMENT SYSTEMS

MANAGEMENT SYSTEMS

96%



Management System Summary: The company Management systems include written policies and procedures which are communicated to employees. The facility is doing business legally on the premises and has legal Counsel to provide updated information on labor laws, Health and Safety, Environmental, and business practices concerns. Facility posts all required labor law posters and Equal Employee Opportunity Commission poster in common areas. The company adheres to all labor laws regarding employee pay and working hours. Workers receive at least one day off in seven, however, they occasionally work in excess of 60 hours per week. Company has written health and safety policies, procedures, and training in place which are communicated to employees. The facility has written emergency preparedness process and procedures in place. The facility has written employee safety process and procedures. The facility has an environmental management system in place.. No evidence of bribery, discrimination of any type, illegal labor, health and safety, environmental, or business practices were found during this assessment.

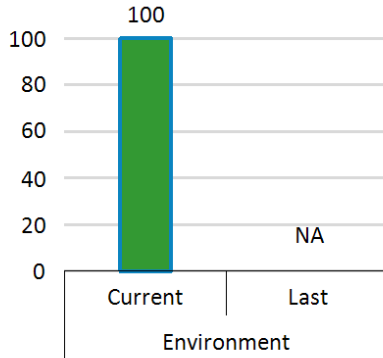
Sub Section: Management Systems

Status	Findings	% Global freq of compliance
● Minor	<p>O0817: The facility has comprehensive working hour and wages management processes and procedures in a written manual that support adherence to social compliance requirements but they are not all being properly implemented.</p> <p>Past occurrences at this facility: NA</p> <p>Auditor's comment Facility has written working hour and wages management procedures, however, during wages and hours review, one worker in three was found to have worked in excess of 60 hours in one week.</p>	39%

C5. ENVIRONMENT

ENVIRONMENT

100%



Environment Summary: The facility has an environmental management system in place. They have a recycling program, and written policies, procedures. The company is not currently required to have any environmental permits. The company has not been subject to any environmental violations or fines within the past 3 years.

% Global Frequency of Compliance: Represents the implementation percentage performance of all suppliers participating in the WCA Community globally for each issue

Identification numbers: Represents the finding ID associated with each checklist question

RECOMMENDATION FOR IMPROVEMENT PLAN TIMELINE

- Minor: Take action within 0 ~ 6 months to make necessary improvements.
- Moderate: Take action within 0 ~ 3 months to make necessary improvements.
- Major: Take action within 0 ~ 1 month to make necessary improvements.
- Zero Tolerance: Take immediate action to make necessary improvements.

D. STRENGTHS AND CHALLENGES

Facility Strengths: Facility performance ranks in the top percentile of the population and/or has implemented a best practice process	Rating	Global Freq. of Compliance%
The facility has comprehensive employee safety processes and procedures in a written manual that support adherence to social compliance requirements and are being properly implemented.	Compliant	41%
Total overtime hours are within allowable limits under applicable law or agreement.	Compliant	47%
The facility has comprehensive emergency preparedness processes and procedures in a written manual that support adherence to social compliance requirements and are being properly implemented.	Compliant	55%
The facility provides social security, pensions, healthcare and/ or other insurance to employees as per legal requirement.	Compliant	61%
The facility has comprehensive chemicals management processes and procedures in a written manual that support adherence to social compliance requirements and are being properly implemented.	Compliant	70%
The facility provides appropriate training for managers on how to implement its social compliance policies and procedures.	Compliant	76%
The facility (including construction projects) have the building permits and/or fire safety permits as per the legal requirements.	Compliant	77%
The facility conducts and/or pays for regular occupational health examinations for employees when applicable.	Compliant	78%
The facility has implemented an mechanism/program to identify, evaluate and control employee exposure to physically demanding work, such as manual handling, heavy lifting, highly repetitive tasks, and other physically demanding jobs to prevent work-related injuries.	Compliant	78%
Employment practice procedures (forced labor, freedom of association, employment contracts, discipline, harassment & abuse) are in place.	Compliant	79%

Challenges: Facility performance ranks in the bottom percentile of the population	Rating	Global Freq. of Compliance%
The total weekly working hours (normal & overtime) are over 60 but less than 72 hours.	Moderate	79%
The facility has comprehensive working hour and wages management processes and procedures in a written manual that support adherence to social compliance requirements but they are not all being properly implemented.	Minor	39%

Best Practices:

The facility has written procedures in place to determine, manage and control overtime.	The facility has made progress in reducing or eliminating pollution, waste and conserving resources.
The facility has implemented energy saving measures or adopted new technologies that are aiming to save energy.	

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