

Auditee :	Shenzhen Smart Team Technology Limited
Audit Date From :	25/12/2015
Audit Date To :	26/12/2015
Expiry Date of the Audit :	25/12/2016
Auditing Company :	TUEV Rheinland
Auditor's Name(s) :	Vincent Hu(Lead)
Auditing Branch (if applicable) :	TUV Rheinland China



This is an extract of the on line Audit Report. The complete report is available in the BSCI Platform.
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Rating Definitions



Rating	A combination of ratings per performance area where:	Consequence																																													
<p>A OUTSTANDING</p>	<p>o Minimum 7 performance area rated A o No Performance area rated C, D or E</p> <p><i>These are three examples:</i></p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr> </table>	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	A	B	B	B	A	A	A	A	A	A	A	A	B	B	B	B	B	B	B	<p>The auditee has the level of maturity to maintain its improvement process without needing follow-up audit.</p>
A	A	A	A	A	A	A	A	A	A	A	A	A	A	A																																	
A	A	A	A	A	A	A	A	A	A	A	A	B	B	B																																	
A	A	A	A	A	A	A	A	B	B	B	B	B	B	B																																	
<p>B GOOD</p>	<p>o Maximum 3 performance area rated C o No performance area rated D or E</p> <p><i>These are three examples:</i></p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td></td></tr> <tr><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td></td></tr> </table>	A	A	A	A	A	A	B	B	B	B	B	B	B	B	B	A	A	A	A	A	B	B	B	B	B	B	B	B	C		B	B	B	B	B	B	B	B	B	B	B	C	C	C		<p>The auditee has the level of maturity to maintain its improvement process without needing follow-up audit.</p>
A	A	A	A	A	A	B	B	B	B	B	B	B	B	B																																	
A	A	A	A	A	B	B	B	B	B	B	B	B	C																																		
B	B	B	B	B	B	B	B	B	B	B	C	C	C																																		
<p>C ACCEPTABLE</p>	<p>o Maximum 2 performance areas rated D o No performance area rated E</p> <p><i>These are three examples:</i></p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>C</td><td>C</td><td>C</td><td>C</td><td></td><td></td></tr> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>C</td><td>D</td><td></td><td></td></tr> <tr><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td><td></td></tr> </table>	A	A	A	A	A	A	A	A	A	C	C	C	C			A	A	A	A	B	B	B	B	C	C	C	C	D			C	C	C	C	C	C	C	C	C	C	C	C	D	D		<p>The auditee needs follow up on its progress. The auditee develops a remediation plan within 60 days following the completion of the audit.</p>
A	A	A	A	A	A	A	A	A	C	C	C	C																																			
A	A	A	A	B	B	B	B	C	C	C	C	D																																			
C	C	C	C	C	C	C	C	C	C	C	C	D	D																																		
<p>D INSUFFICIENT</p>	<p>o Maximum 6 performance area rated E</p> <p><i>These are three examples:</i></p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>D</td><td>D</td><td>D</td><td></td><td></td></tr> <tr><td>A</td><td>A</td><td>A</td><td>B</td><td>B</td><td>B</td><td>C</td><td>C</td><td>C</td><td>D</td><td>D</td><td>D</td><td>E</td><td></td><td></td></tr> <tr><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> </table>	A	A	A	A	A	A	A	A	A	A	D	D	D			A	A	A	B	B	B	C	C	C	D	D	D	E			D	D	D	D	D	D	D	E	E	E	E	E	E	E	E	<p>The auditee needs follow up on its progress. The auditee develops a remediation plan within 60 days following the completion of the audit.</p>
A	A	A	A	A	A	A	A	A	A	D	D	D																																			
A	A	A	B	B	B	C	C	C	D	D	D	E																																			
D	D	D	D	D	D	D	E	E	E	E	E	E	E	E																																	
<p>E UNACCEPTABLE</p>	<p>o Minimum 7 performance areas rated E</p> <p><i>These are three examples:</i></p> <table border="1" style="width: 100%; text-align: center;"> <tr><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>A</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td></td><td></td></tr> <tr><td>A</td><td>A</td><td>B</td><td>B</td><td>C</td><td>D</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> <tr><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td><td>E</td></tr> </table>	A	A	A	A	A	A	E	E	E	E	E	E	E			A	A	B	B	C	D	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	E	<p>BSCI participants shall closely oversee the auditee's progress as it may represent a higher risk than other business partners</p>
A	A	A	A	A	A	E	E	E	E	E	E	E																																			
A	A	B	B	C	D	E	E	E	E	E	E	E	E	E																																	
E	E	E	E	E	E	E	E	E	E	E	E	E	E	E																																	
<p>Zero Tolerance</p>	<p>A Zero Tolerance issue was identified (see Annex 5)</p>	<p>Immediate actions are required. The BSCI Zero Tolerance Protocol is to be followed.</p>																																													

Main Auditee Information



Name of producer :	Shenzhen Smart Team Technology Limited		
DBID number :	339755		
Audit ID :	41768		
Address :	3F Building A and 3F Building B, Xutai Industrial Zone, Dashuiwan New Industrial Area, Longtian Community, Kengzi, Pingshan New District, Shenzhen		
Province :	Guangdong	Country :	China
Management Representative :	Ms. Guimei GUO		
Contact person:	Guimei GUO	Sector :	Non-Food
Industry Type :	Mechanical and electrical engineering	Product group :	Electrical supplies
Product Type :	Charger, polymer batteries, button batteries		

Audit Details



Audit Range :	<input checked="" type="checkbox"/> Full Audit	<input type="checkbox"/> Follow-up Audit
Audit Scope :	<input checked="" type="checkbox"/> Main Auditee	<input type="checkbox"/> Main Auditee & Farms
Audit Environment :	<input checked="" type="checkbox"/> Industrial	<input type="checkbox"/> Agricultural
Audit Announcement :	<input checked="" type="checkbox"/> Fully-Announced	<input type="checkbox"/> Fully-Unannounced <input type="checkbox"/> Semi-Announced
Random Unannounced Check (RUC) :	No	
Audit extent (if applicable) :	none	
Audit interferences or contingencies (if applicable) :	none	
Overall rating :	C	
Need of follow-up :	Yes	If YES, by : 26/12/2016

Rating per Performance Area (PA)

PA 1	PA 2	PA 3	PA 4	PA 5	PA 6	PA 7	PA 8	PA 9	PA 10	PA 11	PA 12	PA 13
D	B	A	A	B	D	A	A	A	A	A	C	A

Executive summary of audit report

The facility was established in Dec. 2011, located in an industrial area on the 3rd floors of Building A & Building B. No kitchen, canteen or dormitory were provided by the facility. The local minimum wage standard had been set as RMB 2,030/month since Mar. 2015. The basic minimum wage set for the workers was RMB 2,100/month. Workers were paid in cash on or before the 7th day of each month and the latest payment month was Nov. 2015. Payrolls of Dec. 2014 to Nov. 2015 were available for review. Wages of 12 randomly selected workers from various sections were sampled for analysis. Workers were paid at hourly rates of RMB 12.1/hour. Pay slips were provided when the wages were issued per the management and interviewees. Benefits as annual leave, sick leave, and maternity leave and so on were legally provided. Not all the workers were covered by the social insurance. Currently, the facility covers 23 workers with the retirement insurance, 42 workers with medical insurance, work-related injury insurance, unemployment insurance and bearing insurance. Other workers were covered by the business insurance. An IC Card Swiping system was utilized in the facility to record the workers' working time. No off-clock work was reported. Time records of Dec. 2014 to Dec. 2015 (up to the assessment day) for 12 randomly selected workers from various sections were reviewed to show that workers worked in one single shift as 08:00 AM to 12:00 PM, 02:00 PM to 06:00 PM, Monday through Friday. Regular OT of at most 2 hours starting at 07:00 PM was conducted for at most thrice per week. Saturday OT of 8 hours was conducted for at most 5 times per month. Maximum daily, weekly and monthly OT was controlled within 2 hours, 14 hours and 66 hours, respectively. Workers were guaranteed with one day of rest in every 7 day-period. There were no juvenile workers hired in the facility.

Ratings Summary



Auditee's background information			
Auditee's name :	Shenzhen Smart Team Technology Limited	Legal status :	Co., Ltd
Auditee aliases :		Year in which the auditee was founded :	2011
Address :	3F Building A and 3F Building B, Xutai Industrial Zone, Dashuiwan New Industrial Area, Longtian Community, Kengzi, Pingshan New District,	Contact person (please select) :	Guimei GUO
Province :	Guangdong	Contact's Email :	sales@smartteam-ltd.com.hk
City :	Shenzhen	Auditee's official language(s) for written communications :	Mandarin
Region :	North East Asia	Other relevant languages for the auditee :	Cantonese
Country :	China	Website of auditee (if applicable) :	Nil
GPS coordinates :	N22°45'23.46/E114°21'58.36	Total turnover (in Euros) :	1371900.00
Sector :	Non-Food	Of which exports % :	100.00
Industry :	Mechanical and electrical engineering	Of which domestic market % :	0.00
If other, please specify :		Production volume :	800000 pieces/year
Product Group :	Electrical supplies	Production cost calculation :	Yes
If other, please specify :		Lost time injury calculation cost :	Yes
Product Type :	Charger, polymer batteries, button batteries		

Auditee's employment structure at the time of the audit			
Total number of workers :	72	Total number of workers in the production unit to be monitored (if applicable) :	0
	MALE WORKERS	FEMALE WORKERS	
Permanent workers	24	48	
Temporary workers	0	0	
In management positions	2	1	
Apprentices	0	0	
On probation	0	0	
With disabilities	0	0	
Migrants (national citizens)	24	48	
Migrants (foreign citizens)	0	0	
Workers on the permanent payroll	24	48	
Production based workers	0	0	
With shifts at night	0	0	
Unionised	0	0	
Pregnant	-	0	
On maternity leave	-	0	

Finding Report



Performance Area 1 : Social Management System and Cascade Effect		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: D		
StakeHolders information was provided before the audit	Based on the satisfactory evidence, the main auditee respect this principle, however, 基于充分的证据显示, 被审核方尊重该章节的要求, 但是: 1.1 No legal compliance assessment was conducted on Labor, Ethics, Health and Safety in the facility. 没有对劳工、道德、健康和安全进行法律合规性的评价。1.4 No business resumption plan was set. The facility did not discuss the workforce capacity with the HR staff and the worker representative. 工厂没有制定业务恢复计划; 没有与人事科人员和员工代表就工厂产能进行讨论。	01/05/2016
Remarks from Auditee:		
Performance Area 2 : Workers Involvement and Protection		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: B		
	Based on the satisfactory evidence, the main auditee respects this principle, however, 基于充分的证据显示, 被审核方尊重该章节的要求, 但是: 2.2 The facility did not define long-term goals for protecting the workers in line with the aspirations of the BSCI Code of Conduct. 工厂没有制定一份长期的计划以确保按照BSCI行为准则的要求以保护员工。	01/02/2016
Remarks from Auditee:		
Performance Area 3 : The rights of Freedom of Association and Collective Bargaining		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: A		
Remarks from Auditee:		
Performance Area 4 : No Discrimination		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: A		
Remarks from Auditee:		

Performance Area 5 : Fair Remuneration		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: B		
	Based on the satisfactory evidence, the main auditee respects this principle, however, 基于充分的证据显示, 被审核方尊重了该章节的要求, 但是: 5.5 Not all the workers were covered by the social insurance. Currently, the facility covers 23 workers with the retirement insurance, 42 workers with medical insurance, work-related injury insurance, unemployment insurance and bearing insurance. Other workers were covered by the business insurance. (Reference Law: China Labor Law, Article 72 & 73) 工厂不是所有员工都购买社会保险。当前, 工厂给23名员工购买了养老保险; 42名员工购买了医疗、工伤保险、失业和生育保险。其它员工都有购买商业保险。(相关法律: 中华人民共和国劳动法 第七十二条和七十三条)	01/06/2016
Remarks from Auditee:		
Performance Area 6 : Decent Working Hours		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: D		
	Based on the satisfactory evidence, the main auditee respects this principle, however, 基于充分的证据显示, 被审核方尊重了该章节的要求, 但是: 6.2 Based on the time records of Dec. 2014 to Dec. 2015 (up to the assessment day) and payrolls of Dec. 2014 to Nov. 2015, it was identified that 100% sampled workers (12 out of 12) had monthly overtime worked more than 36 hours in the reviewed months except for Feb. 2015, with the maximum up to 66 hours. (Reference Law: China Labor Law, Article 41) 根据工厂提供的2014年12月至2015年12月的工时记录(至审核日止)和2014年12月至2015年11月的工资表, 所有12名抽样员工在审核期间(除2015年2月外), 员工的月加班时间超出36小时, 最多达到66小时。(相关法律: 中华人民共和国劳动法第41条)	01/08/2016
Remarks from Auditee:		
Performance Area 7 : Occupational Health and Safety		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: A		
	Based on the satisfactory evidence, the main auditee respects this principle, however, 基于充分的证据显示, 被审核方尊重了该章节的要求, 但是: 7.6 No PPE signs were posted at applicable places reminding the workers of wearing the provided PPE. 没有在适用的地方张贴劳保用品标示以提醒员工佩戴劳保用品。7.7 Two small chemical containers were not labeled onsite. (Reference Law: Regulations on the Safe Labeling of Chemicals (GB1528-1999), Article 4.1-4.2.2) 现场两个小的化学品容器没有标示。(相关法律: 化学品安全标签编写规定第4.1-4.2.2条) MSDS are not obtained at the places where the chemicals were used. (Regulations on Chemical Safe Usage in Workplace (1997), Article 27) 物质安全资料表没有保留在现场使用的地方。(相关法律: 工作场所安全使用化学品规定第二十七条) Remarks: 7.21 No kitchen or canteen was provided for the workers. 7.23 No transportation was provided. It was not a legal requirement. 7.24 No dormitory was provided to the workers.	01/01/2016
Remarks from Auditee:		

Performance Area 8 : No Child Labour		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: A		
Remarks from Auditee:		
Performance Area 9 : Special protection for young workers		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: A		
Remarks from Auditee:		
Performance Area 10 : No Precarious Employment		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: A		
Remarks from Auditee:		
Performance Area 11 : No Bonded Labour		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: A		
Remarks from Auditee:		
Performance Area 12 : Protection of the Environment		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: C		
	Based on the satisfactory evidence, the main auditee respects this principle, however, 基于充分的证据显示, 被审核方尊重该章节的要求, 但是: 12.1 No risk assessment on Environment was conducted. 没有进行环境方面的风险评估。12.4 No annual test was conducted on the air emissions. (Reference Law: Law of the People's Republic of China on the Prevention and Control of Atmospheric Pollution (2000) Article 13) 没有对废气进行年度监测。(相关法律: 中华人民共和国大气污染防治法 (2000) 第十三条)	01/06/2016
Remarks from Auditee:		

Performance Area 13 : Ethical Business Behaviour		
GOOD PRACTICES	AREAS OF IMPROVEMENT	DEADLINE DATE
Full Audit [41768] Audit Date: 25/12/2015 PA Score: A		
	<p>Based on the satisfactory evidence, the main auditee respects this principle, however, 基于充分的证据显示, 被审核方尊重该章节的要求, 但是: 13.2 It was noted that the factory had expanded the location from 3F Building A, Xutai Industrial Zone, Dashuiwan New Industrial Area, Longtian Community, Kengzi, Pingshan New District, Shenzhen City to 3F Building A and 3F Building B, Xutai Industrial Zone, Dashuiwan New Industrial Area, Longtian Community, Kengzi, Pingshan New District, Shenzhen City since the beginning of 2013. However, it was noted that the factory had not updated the business license to reflect the change of location as legally required. (Reference Law: Enterprises Legal Representative Registration Management Regulation of the People's Republic of China, Article 17) 发现工厂地址于2013年年初已经从深圳市坪山新区坑梓办事处龙田社区大水湾新工业区旭泰工业园A栋3楼扩大为深圳市坪山新区坑梓办事处龙田社区大水湾新工业区旭泰工业园A栋3楼, B栋3楼, 但营业执照没有更新。(相关法律: 中华人民共和国企业法人登记条例第17条)</p>	01/03/2016
Remarks from Auditee:		

Summary



Audit Type	Date	Audit Id	PA1	PA2	PA3	PA4	PA5	PA6	PA7	PA8	PA9	PA10	PA11	PA12	PA13	Overall Rating
Full Audit	25/12/2015	41768	D	B	A	A	B	D	A	A	A	A	A	C	A	C

Producer Photos



Photo of the inside of the main production hall
Statement of Integrity.JPG