



# SMETA Corrective Action Plan Report (CAPR)

Version 6.1



## Audit Content:

- (1) A SMETA audit was conducted which included some or all of Labour Standards, Health & Safety, Environment and Business Ethics. The SMETA Best Practice Version 6.1 (March 2019) was applied. The scope of workers included all types at the site e.g. direct employees, agency workers, workers employed by service providers and workers provided by other contractors. Any deviations from the SMETA Methodology are stated (with reasons for deviation) in the SMETA Declaration.
- (2) The audit scope was against the following reference documents  
**2-Pillar SMETA Audit**
  - ETI Base Code
  - SMETA Additions
    - Universal rights covering UNGP
    - Management systems and code implementation,
    - Responsible Recruitment
    - Entitlement to Work & Immigration,
    - Sub-Contracting and Home working,**4-Pillar SMETA**
  - 2-Pillar requirements plus
  - Additional Pillar assessment of Environment
  - Additional Pillar assessment of Business Ethics
  - The Customer's Supplier Code (Appendix 1)
- (3) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.
- (4) Any Non-Compliance against customer code shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

## Guidance

The Corrective Action Plan Report summarises the site audit findings and a corrective, and preventative action plan that both the auditor and the site manager believe is reasonable to ensure conformity with the ETI Base Code, Local Laws and additional audited requirements. After the initial audit, the form is used to record actions taken and to categorise the status of the non-compliances.

N.B. observations and good practice examples should be pointed out at the closing meeting as well as discussing non-compliances and corrective actions.

To ensure that good practice examples are highlighted to the supplier and to give a more 'balanced' audit a section to record these has been provided on the CAPR document (see following pages) which will remain with the supplier. They will be further confirmed on receipt of the audit report.

### Root cause (see column 4)

**Root cause refers to the specific procedure or lack of procedure which caused the issue to arise. Before a corrective action can sustainably rectify the situation, it is important to find out the real cause of the non-compliance and whether a system change is necessary to ensure the issue will not arise again in the future.**

**See SMETA BPG Chapter 7 'Audit Execution' for more explanation of "root cause".**

### Next Steps:

1. The site shall request, via Sedex, that the audit body upload the audit report, non-compliances, observations and good examples. If you have not already received instructions on how to do this then please visit the web site [www.sedexglobal.com](http://www.sedexglobal.com).
2. Sites shall action its non-compliances and document its progress via Sedex.
3. Once the site has effectively progressed through its actions then it shall request via Sedex that the audit body verify its actions. Please visit [www.sedexglobal.com](http://www.sedexglobal.com) web site for information on how to do this.
4. The audit body shall verify corrective actions taken by the site by either a "Desk-Top" review process via Sedex or by Follow-up Audit (see point 5).
5. Some non-compliances that cannot be closed off by "Desk-Top" review may need to be closed off via a "1 Day Follow Up Audit" charged at normal fee rates. If this is the case, then the site will be notified after its submission of documentary evidence relating to that non-compliance. Any follow-up audit must take place within twelve months of the initial audit and the information from the initial audit must be available for sign off of corrective action.
6. For changes to wages and hours to be correctly verified it will normally require a follow up site visit. Auditors will generally require to see a minimum of two months wages and hours records, showing new rates in order to confirm changes (note some clients may ask for a longer period, if in doubt please check with the client).

Audit Details				
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC293219366	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS414254024	
Business name (Company name):	Ahujasons Shawlwale Private Limited			
Site name:	AHUJASONS SHAWLWALE PRIVATE LIMITED			
Site address:	Plot No. A 81 Noida, U.P 201301 IN	Country:	IN	
Site contact and job title:	Mr Vinod Paswan / Senior Executive			
Site phone:	9873926244	Site e-mail:	compliance@ahujasons.com	
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health and Safety (plus Environment 2-Pillar)	<input checked="" type="checkbox"/> Environment 4-pillar	<input checked="" type="checkbox"/> Business Ethics
Date of Audit:	2024-02-17			

Audit Company Name:
DQS CFS GmbH

Audit Conducted By					
Affiliate Audit Company	<input checked="" type="checkbox"/>	Purchaser	<input type="checkbox"/>	Retailer	<input type="checkbox"/>
Brand owner	<input type="checkbox"/>	NGO	<input type="checkbox"/>	Trade Union	<input type="checkbox"/>
Multi-stakeholder	<input type="checkbox"/>	Combined Audit (select all that apply)			

**Audit Parameters**

Audit Parameters		
Time in and time out	Day 1	
	In	10:15
	Out	17:30
Audit type:	PERIODIC	
Was the audit announced?	SEMI_ANNOUNCED	
Was the Sedex SAQ available for review?	Yes	
Any conflicting information SAQ/Pre-Audit Info to Audit findings?	No	
Who signed and agreed CAPR	Mr Vinod Paswan / Senior Executive	
Is further information available	No	

Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?	Yes	Yes	No
B: Present at the audit?	Yes	Yes	No
C: Present at the closing meeting?	Yes	Yes	No
<i>Reason for absence at the opening meeting</i>	There is no trade Union		
<i>Reason for absence during the audit</i>	There is no trade Union		
<i>Reason for absence at the closing meeting</i>	There is no Trade Union.		

## Summary of Findings

Issue <i>(please click on the issue title to go direct to the appropriate audit results by clause)</i>	Area of Non-Conformity		Number of issues			Findings
	ETI	Local Law	NC	Obs	GE	
<u>0B - Management Systems and code implementation</u>	0.B.3		1	0	0	NC - ZAF600403126
<u>3 - Working conditions are safe and hygienic</u>	3.1 3.1 3.1 3.1 3.1 3.1 3.1 3.1 3.1 3.1 3.2	§1 §2 §3 §4 §5 §6 §7	11	0	0	NC - ZAF600403127 NC - ZAF600403128 NC - ZAF600403129 NC - ZAF600403130 NC - ZAF600403131 NC - ZAF600403132 NC - ZAF600403133 NC - ZAF600403134 NC - ZAF600403136 NC - ZAF600403137 NC - ZAF600403140
<u>8 - Regular employment is provided</u>	8.1 8.1	§8 §9	2	0	0	NC - ZAF600403135 NC - ZAF600403138
<u>9 - No harsh or inhumane treatment is allowed</u>	9.1	§10	1	0	0	NC - ZAF600403139
<u>5 - Living wages are paid</u>	5.1	§11	1	0	0	NC - ZAF600403141

## Local Law Issues

Issue	Description
§1	"In accordance with Uttar Pradesh Factories Rules 1950, Section 66 - First-aid appliance —The first-aid boxes or cupboards shall be distinctively marked with a red cross on a white ground and shall contain the following equipments: B.—For Factories employing more than fifty persons—each first-aid box or cupboard shall contain the following equipments : (i) Twenty-four small sterilized dressings. (ii) Twelve medium size sterilized dressings. (iii) Twelve large size sterilized dressings. (iv) Twelve large size sterilized burn dressings. (v) Twelve (½ oz.) packets sterilized cotton wool. (vi) One snake-bite lancet. (vii) One pair of scissors. (viii) Two (1 oz.) bottle of potassium permanganate crystals. (ix) One (4 oz.) bottle containing a 2 per cent alcoholic solution of iodine. (x) One (4 oz.) bottle of sal-volatile having the dose and mode of administration indicated on the label. (xi) One copy of the first-aid leaflet approved by the Chief Inspector of Factories. (xii) Twelve roller bandages 4 inches wide. (xiii) Twelve roller bandages 2 inches wide. (xiv) Two rolls of adhesive plaster. (xv) Six triangular bandages. (xvi) Two packets of safety pins. (xvii) A supply of suitable splints. (xviii) One tourniquet: Provided that items (xii) to (xviii) inclusive need not be included in the standard first-aid box or cupboard (a) where there is a properly equipped ambulance room or (b) if at least one box containing such items and placed and maintained in accordance with the requirements of Section 45 is separately provided."
§2	In accordance with Uttar Pradesh Factory Rules 1950, Section 61: 10 (t) Exit doorways shall open outwards, that is, away from the room but shall not obstruct the travel along any exit. No door when opened, shall reduce the required width of stairway or landing to less than 90 cm. Overhead or sliding doors shall not be installed for this purpose.
§3	In accordance with UP Factories Rules 1950 Section 61(10) (e) The exits shall be clearly visible and suitably illuminated with suitable arrangement whatever artificial lighting is to be adopted for this purpose, to maintain the required illumination in case of failure of the normal source of electric supply.




§4	In accordance with the Uttar Pradesh Factories Rules 1950, Rule 61 (10) (ff) hand rails shall be provided with a minimum height of 100 cm. and shall be firmly supported; and where necessary shall be provided on both sides of the staircase.
§5	"In accordance with Factories Act 1948 Section 7-A (1) every occupier shall ensure, so far as is reasonably practicable, the health, safety and welfare of all workers while they are at work in the factory (2) Without prejudice to the generality of the provisions of sub-section(1), the matters to which such duty extends, shall include-(a) the provision and maintenance of plant and systems of work in the factory that are safe and without risks to health, (b) The arrangements in the factory for ensuring safety and absence of risks to health in connection with the use, handing, storage and transport of articles and substances, (c) The provision of such information, instruction, training and supervision as are necessary to ensure the health and safety of all workers at work."
§6	In accordance with Factories Act 1948, Section 7A (1) every occupier shall ensure, so far as is reasonably practicable, the health, safety and welfare of all workers while they are at work in the factory. (2) Without prejudice to the generality of the provisions of sub-section (1), the matters to which such duty extends, shall include- (a) the provision and maintenance of plant and systems of work in the factory that are safe and without risks to health, (b) the arrangements in the factory for ensuring safety and absence of risks to health in connection with the use, handing, storage and transport of articles and substances, (c) the provision of such information, instruction, training and supervision as are necessary to ensure the health and safety of all workers at work.
§7	Law: Section 32 of CEA (Measures relating to Safety and Electric Supply) Regulations, 2010 (as amended) Installation and testing of generating units. - The capacity above which generating units including generating units producing electricity from renewable sources of energy will be required to be inspected by the Electrical Inspector before commissioning, shall be as per the notification to be issued by the Appropriate Government.
§8	In accordance with Uttar Pradesh Payment of Wages Rules 1936, Rule 6-B, in every factory and industrial establishment a notice in Form VI in English, Hindi and Urdu shall be displayed by the paymaster in a conspicuous place at or near the entrance of each department or group of departments specifying the rates of wages payable to all classes of workers other than those holding position of supervision or management as mentioned in Rule 79 and approved under Rule 81 of the Uttar Pradesh Factories Rules 1950. When the rates of wages are revised or a new class of work introduced, the necessary alterations shall be made by the paymaster in the said notice and dated. This notice shall be preserved for a period of six months, after the date of its replacement by a new notice and shall be available to a Factory Inspector on demand for the purposes of inspection.
§9	In accordance with Industrial Employment (Standing Orders) Act 1946, every Industrial Establishment wherein 100 or more workmen are employed on any day of the preceding 12 months within six months from which the Act becomes applicable to an industrial establishment. The factory has to prepare standing orders and get it certified by labour commissioner. A copy of the certified Standing orders in English as well as in language understood by the majority of the workers to be displayed on a notice board near the entrance or at in a place visible to the employees.
§10	The Sexual Harassment (Prevention, Prohibition, and Redressal) Act, 2013, Annual Compliance for Employers in India Under Prevention of Sexual Harassment (POSH) Legislation: Annual report to the employer and district officer: The annual report is prepared by the Internal Complaints Committee (constituted under the POSH Act) of the organization and submitted to the employer and the District Officer, respectively. This report outlines the actions taken by the organization to prevent and address sexual harassment and the overall company compliance with the POSH Law.




§11	In accordance to the ESI Act 1948, As per the new amendment from June 2017 contribution of ESIC shuld be done within 15 days of next month
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## Corrective Action Plan - Non Compliances

Non-Compliance		Evidence																																
<a href="#">[Back to findings summary]</a>																																		
<table border="1"> <thead> <tr> <th colspan="2">Non-Compliance</th> </tr> </thead> <tbody> <tr> <td>Status</td> <td>CLOSED</td> </tr> <tr> <td>Reference</td> <td>ZAF600403126</td> </tr> <tr> <td>Clause</td> <td>0B - Management Systems and code implementation</td> </tr> <tr> <td>Issue Title</td> <td>687 - The ethical Code (i.e. ETI Base Code for SMETA audits) is not communicated to the site's employees</td> </tr> <tr> <td>Subcategory</td> <td>Site's Awareness of Code/Legal Requirements</td> </tr> <tr> <td>New or carried over?</td> <td><input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over</td> </tr> <tr> <td>Resolved by audit</td> <td>ZAA600048124</td> </tr> <tr> <td>Root cause</td> <td><input checked="" type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other</td> </tr> <tr> <td>Root cause - Other</td> <td></td> </tr> <tr> <td>ETI code</td> <td>0.B.3 - Suppliers are expected to communicate this Code to all employees.</td> </tr> <tr> <td>Explanation to the non compliance</td> <td>The training on the ETI Code of Conduct is not effective. 6 of the 10 employees could not explain the Code during the interaction.</td> </tr> <tr> <td>Follow up method</td> <td><input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit</td> </tr> <tr> <td>Timescale</td> <td><input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other</td> </tr> <tr> <td>Actions</td> <td>The training on te ETI Code will be given to the workers</td> </tr> <tr> <td>Additional comments</td> <td>ETI training imparted. Verified</td> </tr> </tbody> </table>		Non-Compliance		Status	CLOSED	Reference	ZAF600403126	Clause	0B - Management Systems and code implementation	Issue Title	687 - The ethical Code (i.e. ETI Base Code for SMETA audits) is not communicated to the site's employees	Subcategory	Site's Awareness of Code/Legal Requirements	New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	Resolved by audit	ZAA600048124	Root cause	<input checked="" type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	Root cause - Other		ETI code	0.B.3 - Suppliers are expected to communicate this Code to all employees.	Explanation to the non compliance	The training on the ETI Code of Conduct is not effective. 6 of the 10 employees could not explain the Code during the interaction.	Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	Timescale	<input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	Actions	The training on te ETI Code will be given to the workers	Additional comments	ETI training imparted. Verified	
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Non-Compliance		Evidence
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<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403127	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	289 - First aid box available but contents are missing / contents out of date or otherwise inadequate	
Subcategory	First Aid / Accidents	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	"In accordance with Uttar Pradesh Factories Rules 1950, Section 66 - First-aid appliance —The first-aid boxes or cupboards shall be distinctively marked with a red cross on a white ground and shall contain the following equipments: B.—For Factories employing more than fifty persons—each first-aid box or cupboard shall contain the following equipments : (i) Twenty-four small sterilized dressings. (ii) Twelve medium size sterilized dressings. (iii) Twelve large size sterilized dressings. (iv) Twelve large size sterilized burn dressings. (v) Twelve (½ oz.) packets sterilized cotton wool. (vi) One snake-bite lancet. (vii) One pair of scissors. (viii) Two (1 oz.) bottle of potassium permanganate crystals. (ix) One (4 oz.) bottle containing a 2 per cent alcoholic solution of iodine. (x) One (4 oz.) bottle of sal-volatile having the dose and mode of administration indicated on the label. (xi) One copy of the first-aid leaflet approved by the Chief Inspector of Factories. (xii) Twelve roller bandages 4 inches wide. (xiii) Twelve roller bandages 2 inches wide. (xiv) Two rolls of adhesive plaster. (xv) Six triangular bandages. (xvi) Two packets of safety pins. (xvii) A supply of suitable splints. (xviii) One tourniquet: Provided that items (xii) to (xviii) inclusive need not be included in the standard first-aid box or cupboard (a) where there is a properly equipped ambulance room or (b) if at least one box containing such items and placed and maintained in accordance with the requirements of Section 45 is separately provided."	
ETI code	3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing	<p><u>NC- Content of Fire aid box not as per the Norms.jpg</u></p>

	knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.	
Explanation to the non compliance	The content of the first aid box in the basement is not as per the norms.	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The content of the first aid box will be made as per the factory .	
Additional comments	The content of the first aid box made as per the factory Verified	


Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403128	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	203 - Fire exits are inadequate by design/construction, location, etc.	
Subcategory	Fire Safety - Fire exits	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	In accordance with Uttar Pradesh Factory Rules 1950, Section 61: 10 (t) Exit doorways shall open outwards, that is, away from the room but shall not obstruct the travel along any exit. No door when opened, shall reduce the required width of stairway or landing to less than 90 cm. Overhead or sliding doors shall not be installed for this purpose.	
ETI code	3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.	
Explanation to the non compliance	One of the exit doors in the basement is found to be opening inside.	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	All the doors will be made to open outside.	
Additional comments	All the doors now made to open outside Verified	
		 <u>NC- Door Opening Inside.jpg</u>







Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403129	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	210 - Inadequate/ poorly functioning emergency lighting	
Subcategory	Fire Safety - Fire exits	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	In accordance with UP Factories Rules 1950 Section 61(10) (e) The exits shall be clearly visible and suitably illuminated with suitable arrangement whatever artificial lighting is to be adopted for this purpose, to maintain the required illumination in case of failure of the normal source of electric supply.	
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Explanation to the non compliance	One of the emergency light in the basement is found to be not glowing	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	All the emergency lights will be checked for the functionality.	
Additional comments	All the emergency light checked for the functionality. Verified	
		 NC- emergency Light Not glowing.jpg


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Subcategory	Fire Safety - Fire alarms & Evacuation																																
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Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other																																
Root cause - Other																																	
ETI code	3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.																																
Explanation to the non compliance	The exit signage in the Second floor is placed wrongly .																																
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit																																
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other																																
Actions	The exit signages will be put at the appropriate place																																
Additional comments	The exit signages put at the appropriate place Verified																																
	 <p><a href="#">NC- Emergency light wrongly placed.jpg</a></p>																																

Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403131	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	185 - Firefighting equipment is not operational or is poorly maintained	
Subcategory	Fire Safety - Fire Fighting Equipment	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
ETI code	3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.	
Explanation to the non compliance	There is no canopy over the fire buckets kept in the open in the terrace.	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The canopy will be put over the fire buckets.	
Additional comments	The canopy put over the fire buckets Verified	
		 <a href="#">NC- No canopy.jpg</a>


Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403132	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	261 - Premises require minor repairs that may affect personal safety (e.g. missing handrails)	
Subcategory	Building/Site Maintenance	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	In accordance with the Uttar Pradesh Factories Rules 1950, Rule 61 (10) (ff) hand rails shall be provided with a minimum height of 100 cm. and shall be firmly supported; and where necessary shall be provided on both sides of the staircase.	
ETI code	3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.	
Explanation to the non compliance	There is no handrails on the way from the ground floor to first floor.	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The handrails will be installed	
Additional comments	The handrails installed Verified	
		 <a href="#">NC- No handrails.jpg</a>



Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403133	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	240 - No / inadequate safety measures / anti-explosion measures for chemicals (e.g. no anti-leaking system / secondary container / unbunded)	
Subcategory	Chemicals	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	"In accordance with Factories Act 1948 Section 7-A (1) every occupier shall ensure, so far as is reasonably practicable, the health, safety and welfare of all workers while they are at work in the factory (2) Without prejudice to the generality of the provisions of sub-section(1), the matters to which such duty extends, shall include-(a) the provision and maintenance of plant and systems of work in the factory that are safe and without risks to health, (b) The arrangements in the factory for ensuring safety and absence of risks to health in connection with the use, handing, storage and transport of articles and substances, (c) The provision of such information, instruction, training and supervision as are necessary to ensure the health and safety of all workers at work."	
ETI code	3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.	<p><u>NC- no secondary Container.jpg</u></p>
Explanation to the non compliance	There is no secondary container provided to the diesel storage.	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	



Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The chemicals will be stored in the secondary container.	
Additional comments	The chemicals stored in the secondary container. Verified	

Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403134	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	220 - Failure to comply with legal requirements for electrical safety, e.g. inspections	
Subcategory	Electrical risk	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
ETI code	3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.	
Explanation to the non compliance	The fencing of the transformer is found to be less than 6 ft as required by the law,	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The fencing of the DG set will be made at 6 ft.	
Additional comments	The fencing of the DG set made at 6 ft. Verified	
		 <a href="#">NC- Transformer fencing.jpg</a>

Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403135	
Clause	8 - Regular employment is provided	
Issue Title	534 - Information about internal rules and regulations is not available e.g. by providing handbooks or terms & conditions for workers and it is a legal requirement	
Subcategory	Terms of Employment/Engagement	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	In accordance with Uttar Pradesh Payment of Wages Rules 1936, Rule 6-B, in every factory and industrial establishment a notice in Form VI in English, Hindi and Urdu shall be displayed by the paymaster in a conspicuous place at or near the entrance of each department or group of departments specifying the rates of wages payable to all classes of workers other than those holding position of supervision or management as mentioned in Rule 79 and approved under Rule 81 of the Uttar Pradesh Factories Rules 1950. When the rates of wages are revised or a new class of work introduced, the necessary alterations shall be made by the paymaster in the said notice and dated. This notice shall be preserved for a period of six months, after the date of its replacement by a new notice and shall be available to a Factory Inspector on demand for the purposes of inspection.	
ETI code	8.1 - To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.	
Explanation to the non compliance	There is no evidence of the factory Act abstract been displayed in the premises.	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	

	90 days <input type="checkbox"/> 365 days	120 days <input type="checkbox"/> Other	180 days	
Actions	The factory Act Abstract will be displayed in the premises.			
Additional comments	The factory Act Abstract displayed in the premises.  Verified			

Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403136	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	225 - No / inadequate PAT / electric safety testing / electrical safety risk assessment	
Subcategory	Electrical risk	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	<p>In accordance with Factories Act 1948, Section 7A (1) every occupier shall ensure, so far as is reasonably practicable, the health, safety and welfare of all workers while they are at work in the factory. (2) Without prejudice to the generality of the provisions of sub-section (1), the matters to which such duty extends, shall include- (a) the provision and maintenance of plant and systems of work in the factory that are safe and without risks to health, (b) the arrangements in the factory for ensuring safety and absence of risks to health in connection with the use, handing, storage and transport of articles and substances, (c) the provision of such information, instruction, training and supervision as are necessary to ensure the health and safety of all workers at work.</p>	
ETI code	<p>3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.</p>	
Explanation to the non compliance	<p>The LT Electric panel is found to be located in the security room where two guards were present.</p>	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days	

	<input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The security room will be relocated.	
Additional comments	The security room relocated. Verified	



Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403137	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	164 - No / inadequate health and safety training provided to workers in relation to processes unlikely to cause serious injury or death - isolated	
Subcategory	Health & Safety Training	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input checked="" type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
ETI code	3.2 - Workers shall receive regular and recorded Health & Safety training, and such training shall be repeated for new or reassigned workers.	
Explanation to the non compliance	There is no evidence of the health and safety training imparted to the workers in 2023	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The training on the health and safety will be imparted to all the workers at a defined frequency	
Additional comments	The training on the health and safety imparted to all the workers Verified	

Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	OPEN	
Reference	ZAF600403138	
Clause	8 - Regular employment is provided	
Issue Title	534 - Information about internal rules and regulations is not available e.g. by providing handbooks or terms & conditions for workers and it is a legal requirement	
Subcategory	Terms of Employment/Engagement	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	In accordance with Industrial Employment (Standing Orders) Act 1946, every Industrial Establishment wherein 100 or more workmen are employed on any day of the preceding 12 months within six months from which the Act becomes applicable to an industrial establishment. The factory has to prepare standing orders and get it certified by labour commissioner. A copy of the certified Standing orders in English as well as in language understood by the majority of the workers to be displayed on a notice board near the entrance or at in a place visible to the employees.	
ETI code	8.1 - To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.	
Explanation to the non compliance	Factory did not have certified standing orders.	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	The approved standing order will be obtained	

Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403139	
Clause	9 - No harsh or inhumane treatment is allowed	
Issue Title	567 - Lack of detailed policy on harassment, violence and abuse that is aligned with applicable laws and communicated to workers	
Subcategory	Harsh Treatment, Harassment or Threat of Abuse	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	The Sexual Harassment (Prevention, Prohibition, and Redressal) Act, 2013, Annual Compliance for Employers in India Under Prevention of Sexual Harassment (POSH) Legislation: Annual report to the employer and district officer: The annual report is prepared by the Internal Complaints Committee (constituted under the POSH Act) of the organization and submitted to the employer and the District Officer, respectively. This report outlines the actions taken by the organization to prevent and address sexual harassment and the overall company compliance with the POSH Law.	
ETI code	9.1 - Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited.	
Explanation to the non compliance	Facility has not filed posh annual return. No record were available for review.	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	It is recommended that facility should file Posh return as required by the Law of the land.	
Additional	filed Posh return	

comments	Verified	
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Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403140	
Clause	3 - Working conditions are safe and hygienic	
Issue Title	267 - No / inadequate certificates for inspections of machinery, or machines not registered as required by law	
Subcategory	Machinery	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	Law: Section 32 of CEA (Measures relating to Safety and Electric Supply) Regulations, 2010 (as amended) Installation and testing of generating units. - The capacity above which generating units including generating units producing electricity from renewable sources of energy will be required to be inspected by the Electrical Inspector before commissioning, shall be as per the notification to be issued by the Appropriate Government.	
ETI code	3.1 - A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.	
Explanation to the non compliance	Facility has not conducted annual inspection of Generators (2 nos).	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	It is recommended that facility shall conduct annual inspection of installed Generators.	

Additional comments	Annual inspection of installed Generators. Verified	
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Non-Compliance		Evidence
<a href="#">[Back to findings summary]</a>		
<b>Non-Compliance</b>		
Status	CLOSED	
Reference	ZAF600403141	
Clause	5 - Living wages are paid	
Issue Title	426 - Regular practice of delayed payment of social insurance and other legally mandated contributions to relevant authorities	
Subcategory	Benefits & Insurance	
New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	
Resolved by audit	ZAA600048124	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	In accordance to the ESI Act 1948, As per the new amendment from June 2017 contribution of ESIC should be done within 15 days of next month	
ETI code	5.1 - Wages and benefits paid for a standard working week meet, at a minimum, national legal standards or industry benchmark standards, whichever is higher. In any event wages should always be enough to meet basic needs and to provide some discretionary income.	
Explanation to the non compliance	On review of documents, it was found that in an isolation case there is delay in remittance of ESI to the concerned authority i.e. September 2023..	
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	
Timescale	<input type="checkbox"/> Immediate <input type="checkbox"/> 30 days <input checked="" type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	It is recommended that facility shall deposit the ESI remittance on time.	
Additional comments	NOW ESI remittance on time. Verified	



## SMETA Declaration

I declare that the audit underpinning the following report was conducted in accordance with SMETA Best Practice Guidance and SMETA Measurement Criteria.

- (1) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.
- (2) Any Non-Compliance against customer code alone shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

Auditor Team			
Lead Auditor:	Vibha Pandey	APSCA Number:	21704842
Additional Auditors:	Kaushik Laha		21701571
Date of declaration:	2024-02-17		

Note: The focus of this ethical audit is on the ETI Base Code and local law. The additional elements will not be audited in such depth or scope, but the audit process will still highlight any specific issues.

Site Representation	
Full Name:	Mr Vinod Paswan
Title:	Senior Executive
Date of declaration:	2024-02-17
Comments:	<p><i>Any exceptions to this must be recorded here (e.g. different sample size):</i>  <i>Sampled wage records from the past 5 months were provided for review (5 months only since the operation for digital thermometer just started last Sep 2020).</i>  <i>The audit took 2.0 man-days (9AM-6PM per day). Audit time was extended until 8PM due to the extent of documentation; this was agreed upon with the factory representatives</i></p>
	None

## Guidance on Root Cause

### Explanation of the Root Cause Column

If a non-compliance is to be rectified by a corrective action which will also prevent the non-compliance re-occurring, it is necessary to consider whether a system change is required.

Understanding the root cause of the non-compliance is essential if a site is to prevent the issue re-occurring.

The root cause refers to the specific activity/ procedure or lack of activity /procedure which caused the non-compliance to arise. Before a corrective action can rectify the situation, it is important to find out the real cause of the non-compliance and whether a system change is necessary to ensure the issue will not arise again in the future.

Since this is a new addition, it is not a mandatory requirement to complete this column at this time. We hope to encourage auditors and sites to think about Root Causes and where they are able to agree, this column may be used to describe their discussion.

### **Some examples of finding a “root cause”**

#### Example 1

Where excessive hours have been noted the real reason for these needs to be understood, whether due to production planning, bottle necks in the operation, insufficient training of operators, delays in receiving trims, etc.

#### Example 2

A non-compliance may be found where workers are not using PPE that has been provided to them. This could be the result of insufficient training for workers to understand the need for its use; a lack of follow-up by supervisors aligned to a proper set of factory rules or the fact that workers feel their productivity (and thus potential earnings) is affected by use of items such as metal gloves.

#### Example 3

A site uses fines to control unacceptable behaviour of workers.

International standards (and often local laws) may require that workers should not be fined for disciplinary reasons.

It may be difficult to stop fines immediately as the site rules may have been in place for some time, but to prevent the non-compliance re-occurring it will be necessary to make a system change.

The symptom is fines, but the root cause is a management system which may break the law. To prevent the problem re-occurring it will be necessary to make a system change for example the site could consider a system which rewards for good behaviour

Only by understanding the underlying cause can effective corrective actions be taken to ensure continuous compliance.

The site is encouraged to complete this section so as to indicate their understanding of the issues raised and the actions to be taken.



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Your feedback on your experience of the SMETA audit you have observed is extremely valuable. It will help to make improvements to future versions.

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[http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw\\_3d\\_3d](http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d)

**[Click here for Supplier \(B\) members:](http://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRgIY_2brg_3d_3d)**

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