



# 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>	ZC1087751	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS1074766
Business name (Company name):	V&M		
Site name:	V&M		
Site address:	Plot No 47 , Sector 5 IMT MANESAR GURGAON 122050 IN	Country:	IN
Site contact and job title:	Mr Anil Kumar Chawla / Head Business Development		
Site phone:	+91 124 4023853	Site e-mail:	anil@vandm.co.in
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:	2024-08-10		

Audit Company Name:
Eurofins South Asia

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		
Time in and time out	Day 1	
	In	09:10
	Out	17:01
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 Anil Kumar Chawla / Head Business Development	
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
Reason for absence at the opening meeting	Their is no trade union .		
Reason for absence during the audit	Their is no trade union .		
Reason for absence at the closing meeting	Their 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	
<a href="#">0B - Management Systems and code implementation</a>	0.B.3		1	0	0	NC - ZAF600589704
<a href="#">2 - Freedom of association and right to collective bargaining are respected</a>	2.1	§1	1	0	0	NC - ZAF600589705
<a href="#">3 - Working conditions are safe and hygienic</a>	3.1 3.1 3.1 3.1 3.3	§2 §3 §4 §5 §6	5	0	0	NC - ZAF600589706 NC - ZAF600589707 NC - ZAF600589708 NC - ZAF600589709 NC - ZAF600589710
<a href="#">9 - No harsh or inhumane treatment is allowed</a>	9.1	§7	1	0	0	NC - ZAF600589711
<a href="#">10B4 - Environment 4-pillar</a>	10.B4.5		1	0	0	NC - ZAF600589712

## Local Law Issues

Issue	Description
§1	THE INDUSTRIAL DISPUTES ACT, 1947, 3. Works Committee.—(1) In the case of any industrial establishment in which one hundred or more workmen are employed or have been employed on any day in the preceding twelve months, the appropriate Government may by general or special order require the employer to constitute in the prescribed manner a Works Committee consisting of representatives of employers and workmen engaged in the establishment so however that the number of representatives of workmen on the Committee shall not be less than the number of representatives of the employer .
§2	In accordance with the Factories Act 1948, Section 38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in every Facility all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases.
§3	In accordance with Factories Act 1948, Section 38 (1) In every factory, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in every factory all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases.



§4	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, handling, 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.
§5	In accordance with Punjab Factory Rules 1952 as applicable to Haryana, Schedule – II, (2) In addition to the facility in sub-paragraph 1, an approved type emergency shower / eye wash with eye fountain shall be provided and maintained in good working Order. Whenever necessary, in order to ensure continuous water supply, storage tank of 1500 liters capacity shall be provided as a source of clean water for emergency use.
§6	In accordance with the Punjab Factories Rules, 1952. Section 51: Water-taps and latrines - (1) Where piped water-supply is available a sufficient number of water-taps conveniently accessible shall be provided in or near such latrine accommodation. (2) If piped water-supply is not available, sufficient quantity of water shall be kept stored in suitable receptacles near the latrines.
§7	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.





## Corrective Action Plan - Non Compliances

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Additional comments	<p>The elections are regularly held and were in fact held on 18 December 2023 after being announced on 14 Dec 2023. Unfortunately the HR and Admin incharge had left the firm without adequate notice and handing over and these could not be located in time on the day of the audit. Scanned copies of the details are attached</p> <p>The facility has conducted election for the formation of committee.</p>	
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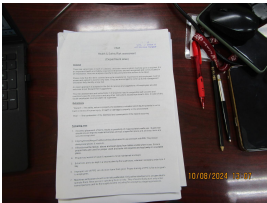
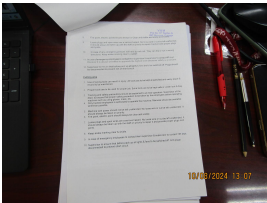
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Explanation to the non compliance	Based on the facility tour on the day of audit it was observed that" 1 out of 1 " Sand Bucket having 03 Bucket kept in open to environment in the Periphery was not provided with Canopy & found empty . Because of which sand bucket were not able to be use in case of some emergency .																																
Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit																																
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	<input type="checkbox"/> 365 days <input type="checkbox"/> Other	
Actions	It is recommended that the facility should ensure all sand bucket to be provided with Canopy & sand to be filled into the bucket kept in the facility.	
Additional comments	A canopy has been provided and the buckets have been filled with sand. The sand had been earlier removed due to monsoon rains. However with the canopy it has been possible to put sand in the buckets. The facility has filled the sand buckets with sand.	


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Actions	It is recommended to facility to always keep all evacuation plan accessible at all times in the facility without having any obstructions .	
Additional comments	Material has been removed from in front of the evacuation plan. Image is attached. The evacuation map is now visible for use.	

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Actions	It is recommended that facility shall ensue to conduct risk assessment for health and safety as required.
Additional comments	Health and safety risk assessment has been carried out and a scanned copy of the same is attached The facility has now conducted risk assessment as per requirement.

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	wash station provided near chemical storage to be functional when the facility is working .	
Additional comments	The eyewash station has been put in working order. Image is attached. The eye wash station is in working condition.	

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Additional comments	<p>V&amp;M has been submitting the annual returns in time every year and also submitted them this year on 29 Jan 2024, however we could not locate the file due to the earlier HR &amp; Admin incharge having left just at that time without handing over properly. We have also submitted a report along with other firms in July this year. The January 2024 return for the year 2023 and extracts at ser 98 and 108 of Proforma 1 and 2 respectively submitted in July this year are attached. The next report is, as of now, due in January 2025 and will be submitted accordingly. The facility has filed the return for ICC.</p>	
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## 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:	Arun Gupta	APSCA Number:	21705563
Additional Auditors:	Saloni Gaikwad		32200993
Date of declaration:	2024-08-10		

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 Anil Kumar Chawla
Title:	Head Business Development
Date of declaration:	2024-08-10
<b>Comments:</b> <i>Any exceptions to this must be recorded here (e.g. different sample size):  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).  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>	
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.



For more information visit: [Sedexglobal.com](https://www.sedexglobal.com)

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

You can leave feedback by following the appropriate link to our questionnaire:

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

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