



Sedex Members Ethical Trade Audit Report

Version 6.1



Audit Details				
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC417053270	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS417053450	
Business name (Company name):	ASHISH HOMES			
Site name:	ASHISH HOMES			
Site address:	G-87-94 (A), RIICO INDUSTRIAL AREA, PHASE-2ND, BAGRU, JAIPUR 303007 IN	Country:	IN	
Site contact and job title:	Mr. Ashish Gupta / Director			
Site phone:	9799808906	Site e-mail:	ashishhomes01@gmail.com	
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health and Safety (plus Environment 2-Pillar)	<input type="checkbox"/> Environment 4-pillar	<input type="checkbox"/> Business Ethics
Date of Audit:	2024-05-14			

Audit Company Name:
EUROCERT INSPECTION SERVICES PVT LTD

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 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.

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:	Himanshu Gupta	APSCA Number:	21704552
Additional Auditors:	Sunil Dutt		32200441
Date of declaration:	2024-05-14		

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. Ashish Gupta
Title:	Director
Date of declaration:	2024-05-14
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>
	N/A

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	
0A - Universal rights covering UNGP			0	0	0	
0B - Management systems and code implementation			0	0	0	
1 - Freely chosen employment			0	0	0	
2 - Freedom of association and right to collective bargaining are respected			0	0	0	
3 - Working conditions are safe and hygienic	3.1 3.1 3.1 3.1 3.1	§1 §2 §3 §4 §5	6	0	0	NC - ZAF600482865 NC - ZAF600482866 NC - ZAF600482867 NC - ZAF600482868 NC - ZAF600482869 NC - ZAF600482870
4 - Child labour shall not be used			0	0	0	
5 - Living wages are paid			0	0	0	
6 - Working hours are not excessive			0	0	0	
7 - No discrimination is practiced			0	0	0	
8 - Regular employment is provided			0	0	0	
8A - Subcontracting and homeworking			0	0	0	
9 - No harsh or inhumane treatment is allowed			0	0	0	
10A - Entitlement to work and immigration			0	0	0	
10B2 - Environment 2-pillar			0	0	0	
10B4 - Environment 4-pillar			0	0	0	
10C - Business ethics 4-pillar			0	0	0	

Local Law Issues

Issue	Description
§1	In accordance with the Factories Act, 1948, Chapter 2, Article 19(1c&d): Toilets shall be adequately lit, ventilated, cleaned and in sanitary condition at all times.
§2	According to Section 38 (1) of The Factories Act 1948, in every factory all practicable measures shall be taken to prevent out break of fire and its spread, both internally and externally, and to provide and maintain: (a) safe measures of escape for all persons in the event of fire and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that all workers are familiar with the measures of escape in case of a fire and the routine to be followed in such cases.

<p>§3</p>	<p>Factories Act (1948), Amendment(1987), Sec.7A(1-2) - (1) Every occupier shall ensure, so far 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 provisions of such information, instruction, training and supervision as are necessary to ensure the health and safety of all workers at work; (d) the maintenance of all places of work in the factory in a condition that is safe and without risks to health and the provision and maintenance of such means of access to, and egress from, such places as are safe without such risks; (e) the provision, maintenance or monitoring of such working environment in the factory for the workers that is safe, without risks to health and adequate as regards facilities and arrangements for their welfare at work.</p>
<p>§4</p>	<p>In accordance with the Factories Act, 1948, Chapter 5, Article 45(1): In every factory, there shall be provided and maintained so as to be readily accessible during all working hours, first-aid boxes equipped with prescribed contents. The number of such boxes or cupboards to be provided and maintained shall not be less than one for every 150 workers ordinarily employed in the factory.</p>
<p>§5</p>	<p>In accordance with the Factories Act 1948, Section 7A (2b), every occupier should have arrangement in the factory for ensuring safety and absence of risk to health in connection with the use, handling, storage and transport of articles and substances.</p>

Site Details

Site Details		
Company Name	ASHISH HOMES	
Site Name	ASHISH HOMES	
GPS location (if available)	GPS Address:	G-87-94 (A), RIICO INDUSTRIAL AREA, PHASE-2ND, BAGRU, JAIPUR
	Coordinates:	26.8075747, 75.5637727
Applicable business and other legally required licence numbers and documents, for example, business license number, liability insurance, any other required government inspections	1. Factory license number – RJ/34852 valid till 31/03/2030. 2. Fire NOC – LSG/BAGRU/FIRENOC/2023-24/21514 dated on 04/09/2023 to 03/09/2024. 3. Pollution consent for Water/Air consent “Consent to Operate Certificate no”– F(Tech)/JAIPUR(jaipur)/6781(1)/2022-2023/3254-3274 on dated 19/04/2022 dated 04/04/2022 to 31/12/2025. 4. Building plan number – P-48343/CIFB/2022 dated 02/09/2022. 5. Stability Certificate - J.N. Associates competent person under factories act & rules on dated 07/09/2022.	
Products/Activities at site, for example, garment manufacture, electricals, toys, grower, cutting, sewing, packing etc	The facility is Manufacturing of wooden and Home Décor Items process including raw materials, cutting, sanding, polishing, packing, dispatch.	
Site description: (Include size, location, and age of site. Also, include structure and number of buildings)	The facility started its operation in the existing location i.e. G-87-94 (A), RIICO INDUSTRIAL AREA, PHASE-2ND, BAGRU, JAIPUR, since 2017. The facility is Manufacturing of wooden and Home Décor Items process including raw materials, cutting, sanding, polishing, packing, dispatch. This initial audit was conducted by 2 auditors and assessed the factory operation against the ETI base code and Local law requirements on a sampling basis in 1 days. The scope of this audit was based on 2 Pillar SMETA systems. Given facilities, the factory is made in 3 building. The total land area is 2400sq mtr. and 2000sq. mtr. is covered area including all floors . The factory has a total number of workers which is 15 (13 male and 02 female). The general working hours were one shift from 09:00 to 18:00 lunch break from 13:00 to 14:00 and tea break from 11:00 to 11:15 and 15:00 to 15:15, The weekly off is on Sunday.	
Structure and number of buildings	Building Name: Building #1	
	Floor	Description
	Ground Floor	Raw material storage & Cutting
	Building Name: Building #2	
	Floor	Description
	Ground Floor	Sanding, Polishing and Checking
	Building Name: Building #3	
	Floor	Description
	Ground Floor	Packing, Dispatch, Office area, washroom & meter room
First Floor	Show room	

Visible structural integrity issues (large cracks) observed?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No cracks were observed.
Does the site have a structural engineer evaluation?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility has obtained the stability certificate from J.N. Associates Chartered Engineer & Consultant on Dated 11/07/2023.
Site function	<input type="checkbox"/> Agent <input checked="" type="checkbox"/> Factory Processing/Manufacturer <input type="checkbox"/> Finished Product Supplier <input type="checkbox"/> Grower <input type="checkbox"/> Homeworker <input type="checkbox"/> Labour Provider <input type="checkbox"/> Pack house <input type="checkbox"/> Primary Producer <input type="checkbox"/> Service Provider <input type="checkbox"/> Sub-contractor
Months of peak season	Select a month to Select a month
Process overview	Manufacturing of wooden and Home Décor Items process including raw materials, cutting, sanding, polishing, packing, dispatch.
What form of worker representation is there on site?	<input type="checkbox"/> Union <input type="checkbox"/> Worker Committee <input checked="" type="checkbox"/> Other <input type="checkbox"/> None
Please give details:	The facility has formed the grievance redressal committee.
Is there any night production work at the site?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are there any on site provided worker accommodation buildings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Are there any off site provided worker accommodation buildings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Were all site provided accommodation buildings included in this audit	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A

Audit Parameters		
Time in and time out	Day 1	
	In	10:05
	Out	15:50
Audit type:	FULL_INITIAL	
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. Ashish Gupta / Director	
Is further information available	Yes	

Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?	Yes	No	No
B: Present at the audit?	Yes	No	No
C: Present at the closing meeting?	Yes	No	No
<i>Reason for absence at the opening meeting</i>	No workers committee and union exists in the factory.		
<i>Reason for absence during the audit</i>	No workers committee and union exists in the factory.		
<i>Reason for absence at the closing meeting</i>	No workers committee and union exists in the factory.		

Worker Analysis

The term "migrant worker" refers to a person who is engaged or has been engaged in a remunerated activity in a country of which they are not a national or permanent resident or has purposely migrated on a temporary basis to another in-country region to seek and engage in a remunerated activity.

Worker Analysis								
	Local			Migrant*			Home workers	Total
	Permanent	Temporary	Agency	Permanent	Temporary	Agency		
Worker numbers - male	13	0	0	0	0	0	0	13
Worker numbers - female	2	0	0	0	0	0	0	2
Total	15	0	0	0	0	0	0	15
Number of Workers interviewed - male	10	0	0	0	0	0	0	10
Number of Workers interviewed - female	0	0	0	0	0	0	0	0
Total - interviewed sample size	10	0	0	0	0	0	0	10

Nationalities Structure	
Nationality of Management	Indian
Please list the nationalities of all workers, with the three most common nationalities listed first.	Nationality 1: Indian approx %: 100%
Was this list completed during peak season?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No peak season in the factory.
Worker remuneration	Workers on piece rate: 0%
	Paid hourly: 0%
	Salaried: 100%
Payment cycle	Paid daily: 0%
	Paid weekly: 0%
	Paid monthly: 100%
	Other: 0%
	Details for other: N/A

Worker Interview Summary	
Were workers aware of the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were workers aware of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Number of group interviews:	1 group of 4 workers
Number of individual interviews:	Male: 6 Female: 0
All groups of workers are included in the scope of this audit such as; Direct employees, Casual and agency workers, Workers employed by service providers such as security and catering staff as well as workers supplied by other contractors.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Interviews were done in private and the confidentiality of the interview process was communicated to the workers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
In general, what was the attitude of the workers towards their workplace?	<input checked="" type="checkbox"/> Favorable <input type="checkbox"/> Non-favourable <input type="checkbox"/> Indifferent
What was the most common worker complaint?	There were no complaints raised by the interviewed workers. The workers' interviews showed that, workers have positive attitude towards the company, confirmed good working conditions, and stated that salaries are paid on time.
What did the workers like the most about working at this site?	Working condition, wages, and the management.
Any additional comment(s) regarding interviews:	None
Attitude of workers to hours worked:	The workers were satisfied with the working hours.
Is there any worker survey information available?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:

Attitude of workers:
A total of 10 employees were interviewed and the same number of records were reviewed for the month of April 2024 (Current Month), October 2023 (Random Month), and June 2023 (Random month). All workers said they were satisfied with their employment at the factory and that they were satisfied with the current wages which in their view were in line with wages in the locality. They felt free to leave this employer and understood the notice period required. They had good relationships with their supervisors and managers who treated them with respect. They were able to make suggestions to their representatives and every time their problems are resolved immediately.
Attitude of worker's committee/union reps:
Not applicable as the strength of workers is less than 100.
Attitude of managers:
The factory management had a system in place to check their current practices against their client's requirements and the local law, and they took notice of the findings of the internal audit team and had recently implemented a Health & Safety committee to take care of health and safety concerns. The manager responsible for implementing legal and code standards was Mr. Ram Raj - HR Manager in the factory. The manager was open with the auditors and transparently presented the actual practice in the factory. They had a proactive approach to following compliances in their factory campus and meeting the client's expectations. They took all the discussions on notice for future reference.

0A - Universal Rights covering UNGP
[Summary of Findings]

0A: Compliance Requirements

- 0.A.1 Businesses should have a policy, endorsed at the highest level, covering human rights impacts and issues, and ensure it is communicated to all appropriate parties, including its own suppliers.
- 0.A.2 Businesses should have a designated person responsible for implementing standards concerning Human rights
- 0.A.3 Businesses shall identify their stakeholders and salient issues.
- 0.A.4 Businesses shall measure their direct, indirect, and potential impacts on stakeholders (rights holders) human rights.
- 0.A.5 Where businesses have an adverse impact on human rights within any of their stakeholders, they shall address these issues and enable effective remediation.
- 0.A.6 Businesses shall have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter. Note for auditors and readers. This is not a full Human Rights Assessment, but instead a check on the business's implementation of processes to meet their Universal rights covering UNGP responsibilities.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Mr. Ram Raj - HR Manager is responsible for implementing standards concerning Human rights.
- The facility has drafted separate social policies for each salient issue where human rights impacts are covered and the same is communicated to all employees.
- The social policies are communicated throughout their supply chain including suppliers and sourcing agents.
- The facility has measured their direct, indirect, and potential impacts on stakeholders i.e., supplier's (right holders) human rights through assessments/internal audits.

Evidence examined:

- Human Rights Policy
- Interaction with management and employees

Any other comments:

None

Policy statement that expresses commitment to respect human rights?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility had posted the policy about respecting Human Rights in the policy board stated that Child Labour shall not be used, Forced Labour shall not be used, no discrimination is practiced, no harsh or inhumane treatment is allowed, disciplinary action taken, working hours etc.
Are the policies included in workers' manuals?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility provided a worker's handbook to the workers in a local language where all policies are described.
Does the business have a designated person responsible for implementing standards concerning Human Rights?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Mr. Ram Raj - HR Manager.

<p>Does the business have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>The facility had established a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter by means of a suggestion box, making contact with management in the policy board and public areas in the facility.</p>				
<p>Does the grievance mechanism meet UNGP expectations? (Legitimate, Accessible, Predictable, Equitable, Transparent, Rights-compatible, a source of continuous learning and based on stakeholder engagement)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>				
<p>Does the business demonstrate effective data privacy procedures for workers' information, which is implemented?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>The facility established an effective data privacy procedure for workers' information to protect the workers' privacy information.</p>				
<p>Measuring Workplace Impact</p>					
<p>Annual worker turnover(Number of workers leaving in last 12 months as a % of average total number of workers on site over the year (annual worker turnover))</p>	<table border="1"> <tr> <td>Last year</td> <td>3.0%</td> </tr> <tr> <td>This year</td> <td>3.0%</td> </tr> </table>	Last year	3.0%	This year	3.0%
Last year	3.0%				
This year	3.0%				
<p>Current % quarterly (90 days) turnover(Number of workers leaving from the first of the 90 day period through to the last day of the 90 day period / [(number of employees on the 1st day of 90 day period + number of employees on the last day of the 90 day period) / 2])</p>	<p>3.0%</p>				
<p>Annual % absenteeism(Number of days lost through job absence in the year / [(number of employees on 1st day of the year + number employees on the last day of the year) / 2] * number available workdays in the year)</p>	<table border="1"> <tr> <td>Last year</td> <td>3.0%</td> </tr> <tr> <td>This year</td> <td>3.0%</td> </tr> </table>	Last year	3.0%	This year	3.0%
Last year	3.0%				
This year	3.0%				
<p>Quarterly (90 days) % absenteeism(Number of days lost through job absence in the period / [(Number of employees on 1st of the period + Number of employees on the last day of the period) / 2] * Number of available workdays in the month)</p>	<p>3.0%</p>				
<p>Are accidents recorded?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>The facility has maintained a regular accident register HR Manager is the responsible person for keeping records of any accident.</p>				

Annual Number of work related accidents and injuries per 100 workers((Number of work related accidents and injuries * 100) / Number of total workers)	Last year	0.0%
	This year	0.0%
Quarterly (90 days) number of work related accidents and injuries per 100 workers((Number of work related accidents and injuries * 100) / Number of total workers)	0.0%	
Lost day work cases per 100 workers(((Number of lost days due to work accidents and work related injuries * 100) / Number of total workers)	Last year	0.0%
	This year	0.0%
% of workers that work on average more than 48 standard hours / week in the last 6 / 12 months	6 month	0.0%
	12 month	0.0%
% of workers that work on average more than 60 total hours / week in the last 6 / 12 months	6 month	0.0%
	12 month	0.0%

OB - Management Systems and code Implementation
[Summary of Findings]

OB: Compliance Requirements

- 0.B.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.
- 0.B.2 Suppliers shall appoint a senior member of management who shall be responsible for compliance with the Code.
- 0.B.3 Suppliers are expected to communicate this Code to all employees.
- 0.B.4 Suppliers are expected to be operating legally in premises with the correct business licenses and permissions and to have systems to ensure that all relevant land rights have been complied with.
- 0.B.5 Suppliers should communicate this code to their own suppliers and, where reasonably practicable, extend the principles of this Ethical Code through their supply chain.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Mr. Ram Raj - HR Manager is responsible for compliance with ETI base code 6.1.
- The factory has obtained the factory license with number RJ/34852 valid till 31/03/2030 for 49 workers and 58 HP.
- ETI training as per ETI Base Code 6.1 is given to all employees as per Induction Training and once in 6 months for all employees.
- Facility has an updated list of suppliers available and ETI Base Code 6.1 along with UNGP Policy and Direct, Indirect & Potential Impact of Supply Chain has been communicated to all the suppliers.

Evidence examined:

- Employee handbook.
- Facility Code of Conduct (COC).
- All policies of the facility
- Internal audit record.
- Management employee training, training, and attendance records.
- Meeting records.

Any other comments:

None

Management Systems

In the last 12 months, has the site been subject to any fines/prosecutions for non-compliance to any regulations?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: In the last 12 months, the site has not been subjected to any fines or prosecutions for non-compliance to any regulations.
Do policies and/or procedures exist that reduce the risk of forced labour, child labour, discrimination, harassment & abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: It was noted through documentation review, the facility has policies and procedures for reducing the risk of forced labor, child labor, discrimination, harassment & abuse.
If Yes, is there evidence (an indication) of effective implementation? Please give details.	Through document review and worker interviews, the written policies (no forced labor, no child labor, non-discrimination, working hours, health & safety, anti-harassment and abuse) were communicated to the workers as much as factory mid-level management & workers were informed by training via notification board and training.

Have managers and workers received training in the standards for forced labour, child labour, discrimination, harassment & abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: All the managers and workers in the facility have received orientation training where standards for forced labor, child labor discrimination, harassment & abuse are covered.
If Yes, is there evidence (an indication) that training has been effective e.g. training records etc.? Please give details	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Training records were found including picture and attendance sheet.
Does the site have any internationally recognised system certifications e.g. ISO 9000, 14000, OHSAS 18000, SA8000 (or other social audits)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: The site has no internationally recognized system certification.
Is there a Human Resources manager/department?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Mr. Ram Raj - HR Manager.
Is there a senior person /manager responsible for implementation of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The responsibility for meeting the legal and client code requirements is taken by Mr. Ram Raj - HR Manager.
Is there a policy to ensure all worker information is confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The factory had adopted a policy decision whereby all employees of the company will be required to maintain confidentiality with regard to the affairs of the company & its greater.
Is there an effective procedure to ensure confidential information is kept confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility has a confidential information control procedure to keep the information confidential.
Are risk assessments conducted to evaluate policy and procedure effectiveness?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility conducted a risk assessment to evaluate the effectiveness of every policy and procedure department-wise.
Does the facility have a process to address issues found when conducting risk assessments, including implementation of controls to reduce identified risks?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility has an internal system to raise the issue found risk assessment and to implement the way of reduction it.
Does the facility have a policy/code which require labour standards of its own suppliers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility established a Supplier policy which requires labour standards of its own suppliers.
Land Rights	

<p>Does the site have all required land rights licenses and permissions (see SMETA Measurement Criteria)?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details: The facility has building approval from concern authority.</p>
<p>Does the site have systems in place to conduct legal due diligence to recognize and apply national laws and practices relating to land title?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details: The facility has an anti-corruption committee, and anti-bribery policy to support due diligence in applying national laws and practices relating to land title.</p>
<p>Does the site have a written policy and procedures specific to land rights?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details: Not Applicable.</p>
<p>Is there evidence that facility/site compensated the owner/lessor for the land prior to the facility being built or expanded?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details: The facility operates their operation in its own building.</p>
<p>Does the facility demonstrate that alternatives to a specific land acquisition were considered to avoid or minimize adverse impacts?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details: Not applicable as the facility are using own land and buildings.</p>
<p>Is there any evidence of illegal appropriation of land for facility building or expansion of footprint?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details: It was noted through land ownership documentation reviews and management interviews that the facility does not through illegal appropriation of land for facility building and no such evidence was observed on the day of the audit.</p>

1 - Freely chosen Employment
[Summary of Findings]

1: Compliance Requirements

- 1.1 There is no forced, bonded or involuntary prison labour.
- 1.2 Workers are not required to lodge "deposits" or their identity papers with their employer and are free to leave their employer after reasonable notice.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Mr. Ram Raj - HR Manager is responsible for any kind of forced, bonded, or involuntary prison labour issues.
- Based on interviews with the management & workers and document review, it was identified that the factory has established effective employment policies & programs.
- The employees obtained their jobs by themselves or by recommendation; they were not required to give lodge deposits or their identity papers to the factory at the beginning of employment, and they were free to leave their employer after reasonable notice (30 days in advance).
- No forced or bonded labour was found during the audit.

Evidence examined:

- Personnel files
- Factory policy, rules and regulations, training records etc.
- Resignation records
- Factory rules
- Employee handbook
- Management and worker interview.

Any other comments:

None

Is there any evidence of retention of original documents, e.g. passports/ID' (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Is there any evidence of a loan scheme in operation (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Is there any evidence of retention of wages / deposits (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Are there any restrictions on workers' freedom to terminate employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: The facility has a policy mentioning workers are free to terminate the employment from the facility with 01 months' notice period.

<p>If any part of the business is UK based or registered there & has a turnover over £36m, is there a published a 'modern day slavery statement?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable</p> <p>Please give details:</p> <p>The facility did not have any business part with UK which across £36m turnover annually.</p>
<p>Is there evidence of any restrictions on workers' freedoms to leave the site at the end of the work day?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details:</p> <p>No evidence of any restrictions on worker's freedom to leave the site at the end of the workday.</p>
<p>Does the site understand the risks of forced / trafficked / bonded labour in its supply chain</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable</p> <p>Please give details:</p> <p>The facility established a policy about forbidden of forced / trafficked / bonded labour and implemented strict management system to control the risk of forced / trafficked / bonded labour in its supply chain. The facility sent agreement of commitment to its suppliers and operated social responsibility audit on suppliers to control the risk of forced / trafficked / bonded labour in its supply chain.</p>
<p>Is the site taking any steps taking to reduce the risk of forced / trafficked labour?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>The facility follows ETI COC and ensures any kind of loan, or advance is not charged to workers nor any kind of restriction on worker movement.</p>

2 - Freedom of Association and Right to Collective Bargaining are Respected
[Summary of Findings]

2: Compliance Requirements

- 2.1 Workers, without distinction, have the right to join or form trade unions of their own choosing and to bargain collectively.
- 2.2 The employer adopts an open attitude towards the activities of trade unions and their organisational activities.
- 2.3 Workers' representatives are not discriminated against and have access to carry out their representative functions in the workplace.
- 2.4 Where the right to freedom of association and collective bargaining is restricted under law, the employer facilitates, and does not hinder, the development of parallel means for independent and free association and bargaining.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Mr. Ram Raj - HR Manager is responsible for compliance related to Freedom of Association and the Right to Collective Bargaining.
- The facility encourages and respects all employees' rights to join a union freely.
- Facility recognizes and encourages the right to freedom of association and collective bargaining under the law provision.
- The facility does not restrict employees from organizing trade unions and has an open approach to get associated with trade unions and their organizational activities without management interference.
- The facility has formed a worker's committee, grievance redressal committee, health & safety, and prevention of sexual harassment committee through which workers can approach freely for their grievances and suggestions.
- There was no evidence of suppression of employees' rights on the day of the audit.

Evidence examined:

- Documented policy for Freedom of Association.
- Interaction with the employees and grievance committee & works committee members.
- Minutes of Meeting of grievance committee & works committee.
- Suggestion Log.
- Employment contracts, company hiring policy and social policies.

Any other comments:

None

What form of worker representation/union is there on site? (Please add the name of the union or committee in the textbox)	<input type="checkbox"/> Union	<input type="checkbox"/> Worker Committee
	<input checked="" type="checkbox"/> Other	<input type="checkbox"/> None
Other details:	Grievance Committee is in place to resolve workers grievances.	
Is it a legal requirement to have a union?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Is it a legal requirement to have a worker's committee?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Is there any other form of effective worker/management communication channel? (Other than union/worker committee e.g. H&S, sexual harassment)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The factory management has provided a complaint box in the toilet area through which workers can raise their suggestions/complaints. Workers can also approach the management directly for any grievances that are confirmed by the interviewed workers.
Is there evidence of free elections?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Does the supplier provide adequate facilities to allow the Union or committee to conduct related business?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable no Union & committee.
Name of union and union representative, if applicable:	Not applicable. Union is not mandatory.
Is there evidence of free elections?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
If there is no union, is there a parallel means of consultation with workers e.g. worker committees?	Not applicable. Union is not mandatory.
Is there evidence of free elections?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
Are all workers aware of who their representatives are?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Workers are aware of their representative.
Were worker representatives freely elected?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Date of last election:	null
Do workers know what topics can be raised with their representatives?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were worker representatives/union representatives interviewed?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Please describe any evidence that union/worker's committee is effective? Specify date of last meeting; topics covered; how minutes were communicated etc.	The facility had conducted the last meeting on 04/04/2024 topics discussed during the committee meeting were regarding ESI & EPF Benefits awareness. Therefore, the meeting minutes were communicated through the notification board before the meeting.
Are any workers covered by Collective Bargaining Agreement (CBA)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

3 - Working Conditions are Safe and Hygienic
[Summary of Findings]

3: Compliance Requirements

- 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.
- 3.2 Workers shall receive regular and recorded Health & Safety training, and such training shall be repeated for new or reassigned workers.
- 3.3 Access to clean toilet facilities and to potable water, and, if appropriate, sanitary facilities for food storage shall be provided.
- 3.4 Accommodation, where provided, shall be clean, safe, and meet the basic needs of the workers.
- 3.5 The company observing the code shall assign responsibility for Health & Safety to a senior management representative.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- 1. General Health and Safety management: -
 - Mr. Ram Raj - HR Manager is responsible Health & Safety aspect of the site.
 - Potable water was freely available in all areas and test certificates were up to date.
 - Sufficient clean toilets segregated by gender were available at all times to workers.
 - Ventilation, temperature, and lighting were adequate for the production processes.
- 2. Fire Safety: -
 - There were at least 2 exits from each work area and these were marked.
 - Fire-fighting equipment was adequate and checks were up to date.
 - Evacuation diagrams were posted in the main warehouse area and understood by all workers interviewed.
 - Fire drills were organized and recorded every 2 months. The last drills were conducted dated 11th April 2024.
 - A total of 18 fire extinguishers, 05 fire hydrants, 05 fire hose reels, 05 Hooters, 08 Smoke detectors, and 08 industrial emergency lights were present in the facility.
- 3. Electrical Safety: -
 - All electrical equipment was in good condition such as sockets, plugs, switches, and main fuse boards.
 - The facility has a contract with a competent electrician and training certificates were available for review.
- 4. Chemical Safety: -
 - All chemicals were correctly labeled and kept in a chemical storage area.
 - Material Safety Data Sheets were available for the chemicals used by the facility.
 - All employees received H&S orientation training and refresh courses are held regularly.
- 5. Medical Services: -
 - There were adequate first aid kits (03) in each production area and they were well stocked.
 - There were 03 first aiders and when a selection was interviewed, they confirmed they had been trained through the recognized agency.
- 5. Dormitory: -
 - The facility does not provide dormitory facilities.

Evidence examined:

- Drinking water test report
- Injury record and analysis report
- Risk assessment report
- Training record (Fire training, First aid training, PPE training and Health and safety training).
- Fire drill record Health and safety committee register.
- Fire equipment and electric equipment checking record.

Any other comments:

None

<p>Does the facility have general and occupational Health & Safety policies and procedures that are fit for purpose and are these communicated to workers?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>The facility had established general Health & Safety, Occupational Health & Safety policies and procedures that are fit for purpose and are these communicated to workers during induction training and also displayed in the local language at worker entry.</p>
<p>Are the policies included in workers' manuals?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>The facility had included all the policies in employee handbook.</p>
<p>Are there any structural additions without required permits/inspections (e.g. floors added)?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details:</p> <p>All there is no structural changes observed.</p>
<p>Are visitors to the site informed on H&S and provided with personal protective equipment?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details:</p> <p>The site kept dedicated PPE for visitors. While any visitor visits in the factory generally, they brief the visitor about H&S policy and provide PPE(s) when required.</p>
<p>Is a medical room or medical facility provided for workers?(This section is to list evidence to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate))</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details:</p> <p>Not applicable, as not required by the law medical room is not applicable here as the worker's strengths are below 500. However, the facility has adequate first aid boxes (03) in place. Also, facility has a tie-up with the nearest hospital in case of emergency.</p>
<p>Is there a doctor or nurse on site or there is easy access to first aider/ trained medical aid?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details:</p> <p>The 03 first aid-trained persons are available in the facility. Doctor/Nurse not applicable here as the worker's strength is below 500.</p>
<p>Where the facility provides worker transport – is it fit for purpose, safe, maintained and operated by competent persons e.g. buses and other vehicles?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details:</p> <p>The facility does not provide transport facility to their workers as well it is not required by the law.</p>
<p>Is secure personal storage space provided for workers in their living space and is fit for purpose?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details:</p> <p>Not applicable as the factory does not provide living space or storage area to the workers.</p>

<p>Are H&S Risk assessments are conducted (including evaluating the arrangements for workers doing overtime e.g. driving after a long shift) and are there controls to reduce identified risk?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details: Risk assessment conducted process-wise and for all activities.</p>
<p>Is the site meeting its legal obligations on environmental requirements including required permits for use and disposal of natural resources?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>Please give details: The facility meets all the legal obligations on environmental requirements including required permits for the use and disposal of natural resources like water, gas etc.</p>
<p>Is the site meeting its customer requirements on environmental standards, including the use of banned chemicals?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please give details: The factory did not use banned chemicals and followed the entire customer's requirement on environmental standards.</p>

Non-Compliance		Evidence
[Back to findings summary]		
Non-Compliance		
Status	OPEN	
Reference	ZAF600482865	
Clause	3 - Working Conditions are Safe and Hygienic	
Issue Title	329 - Sanitary facilities (e.g. toilets, hand basins) are unhygienic / not clean	
Subcategory	Hygiene Facilities & Housekeeping	
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 the Factories Act, 1948, Chapter 2, Article 19(1c&d): Toilets shall be adequately lit, ventilated, cleaned and in sanitary condition at all times.	
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	It was noted during the site tour that 04 out of 04 male/female toilets located on the ground floor were not in a sanitary condition.	
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 the factory shall ensure that all its toilets are adequately lit, ventilated, and in sanitary conditions at all times.	
		 <p>Toilet area was not in sanitary condition.jpg</p>

Non-Compliance		Evidence
[Back to findings summary]		
Non-Compliance		
Status	OPEN	
Reference	ZAF600482866	
Clause	3 - Working Conditions are Safe and Hygienic	
Issue Title	327 - Storage of goods not in line with legal requirements (e.g. too high)	
Subcategory	Hygiene Facilities & Housekeeping	
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		
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	It was noted during the site tour that the factory has kept the material at unsafe height in storage area located at the ground floor.	
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 the factory shall reduce the material height in the identified location.	
		 <p><u>Material store at unsafe height.jpg</u></p>

Non-Compliance		Evidence
[Back to findings summary]		
Non-Compliance		
Status	OPEN	
Reference	ZAF600482867	
Clause	3 - Working Conditions are Safe and Hygienic	
Issue Title	207 - Isolated occurrence of blocked fire exits	
Subcategory	Fire Safety - Fire exits	
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	<p>According to Section 38 (1) of The Factories Act 1948, in every factory all practicable measures shall be taken to prevent out break of fire and its spread, both internally and externally, and to provide and maintain: (a) safe measures of escape for all persons in the event of fire and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that all workers are familiar with the measures of escape in case of a fire and the routine to be followed in such cases.</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>It was noted during the site tour that aisles were found blocked in the cutting section area located on the ground floor.</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	<p>It is recommended that the factory shall ensure that all doors are kept open and all {aisles, exits,</p>	
		 Aisle blocked.jpg

	stairwells} are free of obstruction during working hours to facilitate an emergency evacuation in the event of an accident or fire.	
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Non-Compliance		Evidence
[Back to findings summary]		
Non-Compliance		
Status	OPEN	
Reference	ZAF600482868	
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	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input checked="" type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	Factories Act (1948), Amendment(1987), Sec.7A(1-2) - (1) Every occupier shall ensure, so far as 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 provisions of such information, instruction, training and supervision as are necessary to ensure the health and safety of all workers at work; (d) the maintenance of all places of work in the factory in a condition that is safe and without risks to health and the provision and maintenance of such means of access to, and egress from, such places as are safe without such risks; (e) the provision, maintenance or monitoring of such working environment in the factory for the workers that is safe, without risks to health and adequate as regards facilities and arrangements for their welfare at work.	 <p>Peeling of paint and seepage in toilet area.jpg</p>
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	It was noted during the site tour that seepage and peeling of paints were observed in the toilet area.	
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 the factory shall repair the seepage and peeling of paint in the identified area.	

Non-Compliance		Evidence
[Back to findings summary]		
Non-Compliance		
Status	OPEN	
Reference	ZAF600482869	
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	
Root cause	<input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input checked="" type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other	
Root cause - Other		
Local law issue	In accordance with the Factories Act, 1948, Chapter 5, Article 45(1): In every factory, there shall be provided and maintained so as to be readily accessible during all working hours, first-aid boxes equipped with prescribed contents. The number of such boxes or cupboards to be provided and maintained shall not be less than one for every 150 workers ordinarily employed in the factory.	
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	It was noted during the site tour that the below items were found missing from the first aid boxes located in the sanding area: 1) No antiseptic lotion/cream 2) No adhesive tape 3) No eye wash cup 4) No gloves 5) No bandage 6) No scissors	
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 the factory shall ensure that	
		 Empty first aid box.jpg

	all first aid boxes are always stocked with sufficient and necessary first aid supplies.	
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Non-Compliance		Evidence
[Back to findings summary]		
Non-Compliance		
Status	OPEN	
Reference	ZAF600482870	
Clause	3 - Working Conditions are Safe and Hygienic	
Issue Title	276 - Workers are not issued with appropriate Personal Protective Equipment (PPE)	
Subcategory	Personal Protective Equipment/Clothing	
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 the Factories Act 1948, Section 7A (2b), every occupier should have arrangement in the factory for ensuring safety and absence of risk to health in connection with the use, handling, storage and transport of articles and substances.	
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	It was noted during the site tour that the factory has not provided personal protective equipment's, such as filtered masks, gloves, aprons, safety goggles, gum boots, etc. as appropriate and needed to all concerned workers in polishing section area. In addition, the sanding section workers were provided with surgical mask instead of dust mask and ear plugs.	
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 the factory shall provided personal protective equipment, such as filtered and dust masks, gloves, aprons, ear plugs, safety goggles, gum boots, etc. as appropriate and needed to all concerned workers in polishing and sanding	
		 <p>PPE missing for polishing worker.jpg</p>  <p>Inappropriate PPE for sanding worker.jpg</p>

	section workers.	
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4 - Child Labour Shall Not Be Used
[Summary of Findings]

4: Compliance Requirements

- 4.1 There shall be no new recruitment of child labour.
- 4.2 Companies shall develop or participate in and contribute to policies and programmes which provide for the transition of any child found to be performing child labour to enable her or him to attend and remain in quality education until no longer a child.
- 4.3 Children and young persons under 18 shall not be employed at night or in hazardous conditions.
- 4.4 These policies and procedures shall conform to the provisions of the relevant ILO Standards.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Mr. Ram Raj - HR Manager is responsible for any issues of child labour if found.
- The facility has ensured no recruitment of child labour.
- The facility verifies the original proof of age document during the pre-employment interview and a copy is maintained in the personal file of the employees.
- From the facility tour, physical appearance of employees and interviews with management, there was no evidence of child labour or young labour employed by the facility.
- No juvenile worker was observed to be working at the facility on the day of the audit.

Evidence examined:

- The procedure of Recruiting regulation was available for review, the personnel files with ID or birth certificate copies were available for review, the contracts with all the employees were available for audit, and the roster was established by the factory.
- Document review
- Management interview
- Worker interview
- On-site observation during floor visits.

Any other comments:

None

Legal age of employment:	14
Age of youngest worker found:	25
Are there children present on the work floor but not working at the time of audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Percentage of under 18's at this site (of total workers)	0.0%
Are workers under 18 subject to hazardous work assignments?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable as there was no worker found under 18.

5 - Living Wages are Paid
[Summary of Findings]

5: Compliance Requirements

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.

5.2 All workers shall be provided with written and understandable information about their employment conditions in respect to wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid.

5.3 Deductions from wages as a disciplinary measure shall not be permitted nor shall any deductions from wages not provided for by national law be permitted without the expressed permission of the worker concerned. All disciplinary measures should be recorded.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Mr. Ram Raj - HR Manager is responsible for compliance of wages and benefits.
- It was noted from the review of wage records and interaction with employees and management that:
- No fines / illegal deductions are made from the wages of the employees as disciplinary measures.
- All employees are paid on or before the 7th of every month.
- All employees are provided with clear and written pay stubs.
- All 10 out of 10 sampled employees were paid more than minimum wage for March 2024 (Current Month), October 2023 (Random Month), and May 2023 (random month).
- The facility has also extended Leave with benefits to all applicable employees as per the legal requirement.
- Deductions from wages as a disciplinary measure and any other illegal deductions are not permitted as per the facility rules.
- Based on the employee's interview and record review all the employees are received an appointment letter with written and understandable information about their employment conditions in respect to wages.

Evidence examined:

- Document review
- Worker interview
- Management interview
- Local and national laws
- Wages and benefits policy
- Local legal minimum wage documents
- Payroll records from March 2024 (Current Month), October 2023 (Random Month), and May 2023 (random month).
- Leave records
- Labor contracts for all employees.
- Resignation records
- Pay slips of all workers interviewed
- Overtime records.

Any other comments:

None

Summary Information

Criteria	Local Law	Actual at the Site	Is this part of a Collective Bargaining Agreement?

Standard/Contracted work hours: (Maximum legal and actual required working hours excluding overtime, please state if possible per day, week, and month)	Legal Maximum Per Day: 8.0 Per Week: 48.0 Per Month: null	Actual Per Day: 8.0 Per Week: 48.0 Per Month: 208.0	NO
Overtime hours: (Maximum legal and actual overtime hours, please state if possible per day, week, and month)	Legal Maximum Per Day: 2.0 Per Week: null Per Month: null	Actual Per Day: 0.0 Per Week: 0.0 Per Month: 0.0	NO
Wage for standard/contracted hours: (Minimum legal and actual minimum wage at site, please state if possible per hr, day, week, and month)	Legal Maximum Per Day: null Per Week: null Per Month: 7410	Actual Per Day: 0 Per Week: 0 Per Month: 11550	NO
Overtime wage: (Minimum legal and actual minimum overtime wage at site, please state if possible per hr, day, week, and month)	Legal Maximum Per Day: null Per Week: null Per Month: null	Actual Per Day: 0 Per Week: 0 Per Month: 0	NO
Wages Analysis:			
Were accurate records shown at the first request?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Sample Size Checked (State number of worker records checked and from which weeks/months – should be current, peak, and random/low. Please see SMETA Best Practice Guidance and Measurement Criteria)	March 2024 (Current Month), October 2023 (Random Month), and May 2023 (random month). -10 samples from each month.		
Are there different legal minimum wage grades? If Yes, please specify all.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Unskilled- 7410, Semi-Skilled - 7722, Skilled- 8034, Highly skilled- 9334.		
If there are different legal minimum grades, are all workers graded and paid correctly?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable Please give details:		
For the lowest paid production workers, are wages paid for standard/contracted hours (excluding overtime) below or above the legal minimum?	<input type="checkbox"/> Below legal min <input type="checkbox"/> Meet <input checked="" type="checkbox"/> Above		
Lowest actual wages found: Note: full time employees and please state hour / week / month etc.	11550/- Monthly		
Please indicate the breakdown of workforce per earnings	0.0% of workforce earning under minimum wage 0.0% of workforce earning minimum wage 100.0% of workforce earning above minimum wage		
Bonus Scheme found: Please specify details:	Bonus Scheme found:The factory has paid 8.33% of the annual earned basic as an annual bonus to all the eligible workers. Note: type of employee (e.g. full time, temp, etc.) and please state which units e.g. /hour /week /month etc.		
What deductions are required by law e.g. social insurance? Please state all types:	1. Employee State Insurance (ESI)		
Have these deductions been made?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Please list all deductions that have been made.	The factory is deducting ESI (0.75 % of gross wages).		

Please list all deductions that have not been made.	None
Were appropriate records available to verify hours of work and wages?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were any inconsistencies found? (if yes describe nature)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Do records reflect all time worked? (For instance, are workers asked to attend meetings before or after work but not paid for their time)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The three sample months' records were completely reviewed, and the workers were interviewed on a sample basis, from that, it was evident that the records were reflecting the actual time worked.
Is there a defined living wage: This is not normally minimum legal wage. If answered yes, please state amount and source of info: Please see SMETA Best Practice Guidance and Measurement Criteria.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
If yes, what was the calculation method used.	<input type="checkbox"/> ISEAL/Anker Benchmarks <input type="checkbox"/> Asia Floor Wage <input type="checkbox"/> Figures provided by Unions <input type="checkbox"/> Living Wage Foundation UK <input type="checkbox"/> Fair Wear Wage Ladder <input type="checkbox"/> Fairtrade Foundation <input type="checkbox"/> Other – please give details:
Are there periodic reviews of wages? If Yes give details (include whether there is consideration to basic needs of workers plus discretionary income).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The reviews are done in an annual basis, or the minimum wage is revised, whichever is earlier.
Are workers paid in a timely manner in line with local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Is there evidence that equal rates are being paid for equal work:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Based on employees' interviews, copies of appointment letters issued to employees and wage records, it was noted that equal rates are paid for equal work.
How are workers paid:	<input type="checkbox"/> Cash <input type="checkbox"/> Cheque <input checked="" type="checkbox"/> Bank Transfer <input type="checkbox"/> Other

6 - Working Hours are not Excessive
[Summary of Findings]

6: Compliance Requirements

- 6.1 Working hours must comply with national laws, collective agreements, and the provisions of 6.2 to 6.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.
- 6.2 Working hours, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week.
- 6.3 All overtime shall be voluntary. Overtime shall be used responsibly, taking into account all the following: the extent, frequency and hours worked by individual workers and the workforce as a whole. It shall not be used to replace regular employment. Overtime shall always be compensated at a premium rate, which is recommended to be not less than 125% of the regular rate of pay.
- 6.4 The total hours worked in any 7-day period shall not exceed 60 hours, except where covered by clause 6.5 below.
- 6.5 Working hours may exceed 60 hours in any 7-day period only in exceptional circumstances where all of the following are met:
- 6.6 Workers shall be provided with at least one day off in every 7-day period or, where allowed by national law, 2 days off in every 14-day period.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- In this audit, the auditor had randomly selected production records, such as Material in/out records, and daily production reports, and crosschecked these records with payroll records and attendance records, no inconsistency was noted. In addition, through employees' interviews, no inconsistency was noted either.
 - a) Through employees' interviews, overtime is voluntary.
 - b) Timecards are maintained by a manual attendance system.
 - c) All overtime is compensated at a premium rate for all employees.
- The time frame of the records reviewed is as follows:
 - a) 10 samples from the month of March 2024 (Current month)
 - b) 10 samples from the month of October 2023 (Random month)
 - c) 10 samples from the month of May 2023 (Random month)
- According to time records and worker interviews basic working hours were 8 hours per day and a max of 48 hours per week. No overtime hours were observed in the three-sample month. The employee works for 06 days a week (Monday to Saturday).
- The general working hours were one shift from 09:00 to 18:00 lunch break from 13:00 to 14:00 and tea break from 11:00 to 11:15 and 15:00 to 15:15, The weekly off is on Sunday.

Evidence examined:

- Employee interview
- Management interview
- Local and national laws
- Factory policy on working hours
- Attendance and wages record from May 2023 to the audit day.
- Manual attendance system
- Sample pay slips with recorded hours of all workers interviewed
- Quality and production records to cross-check hours
- Workers contracts.

Any other comments:

None

Working hours' analysis

Systems & Processes

What timekeeping systems are used?	Attendance and work timings (including OT) record was maintained by manual attendance system.
Is sample size same as in wages section?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Are standard/contracted working hours defined in all contracts/employment agreements? (If no, please give details including % and which type of workers do NOT have standard hours defined in contracts/employment agreements.)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are there any other types of contracts/employment agreements used?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Do any standard/contracted working hours defined in contracts/employment agreements exceed 48 hours per week? (If yes, please detail hours, %, types of workers affected and frequency.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Are workers provided with at least 1 day off in every 7-day-period, or 2 in 14-day-period?	<input checked="" type="checkbox"/> 1 in 7 days <input type="checkbox"/> 2 in 14 days <input type="checkbox"/> No (please explain)
Is this allowed by local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Maximum number of days worked without a day off (in sample):	6
Standard/Contracted Hours worked	
Were standard working hours over 48 hours per week found? (If yes, % of workers & frequency)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No % of workers: null% Frequency:
Any local waivers/local law or permissions which allow averaging/annualised hours for this site? (If yes, please give details.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Overtime Hours worked	
Actual overtime hours worked in sample (State per day/week/month)	No overtime is observed in the sample months.
Combined hours (standard or contracted + overtime hours = total) over 60 found?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: None
Approximate percentage of total workers on highest overtime hours:	0.0%

7 - No Discrimination is Practiced
[Summary of Findings]

7: Compliance Requirements

7.1 There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Mr. Ram Raj - HR Manager is responsible for any kind of discrimination issues and making workers aware of discrimination issues.
- Facility has defined a policy of non-discrimination in hiring, compensation, promotion, termination, access to training, and increment based on race, caste, national origin, religion, age, gender, marital status, sexual orientation, or membership in any union or political affiliation.
- The human resource department is responsible for the investigation and disposal of discrimination cases.
- The facility had provided suggestion boxes.
- Facility provides equal access to employment as well as equal pay for equal work.

Evidence examined:

- The hiring and termination procedure, leave application records
- Payroll records
- Attendance records
- Termination records
- Training records
- Employment contracts were provided for review and they showed that male and female employees were on the same pay grade.
- Management interview and employee interview

Any other comments:

None

Gender breakdown of Management + Supervisors (Include as one combined group)	Male: 100.0%	Female: 0.0%
Number of women who are in skilled or technical roles (e.g. where specific qualifications are needed i.e. machine engineer / laboratory analyst)	0	
Is there any evidence of discrimination based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation?	<input type="checkbox"/> Hiring <input type="checkbox"/> Promotion	<input type="checkbox"/> Compensation <input type="checkbox"/> Termination or retirement <input checked="" type="checkbox"/> No evidence of discrimination found
Please give details	As per documents review, management & workers interview, there is no evidence of discrimination based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.	
Professional Development		
What type of training and development are available for workers?	All workers are given Safety & Induction, different types of machine operation and quality assurance training.	

Are HR decisions e.g. promotion, training, compensation based on objective, transparent criteria? (If no, please provide details)

Yes No

8 - Regular Employment Is Provided
[Summary of Findings]

8: Compliance Requirements

8.1 To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.

8.2 Obligations to employees under labour or social security laws and regulations arising from the regular employment relationship shall not be avoided through the use of labour-only contracting, sub-contracting, or home-working arrangements, or through apprenticeship schemes where there is no real intent to impart skills or provide regular employment, nor shall any such obligations be avoided through the excessive use of fixed-term contracts of employment.

Additional Elements: Responsible Recruitment

8.3 Suppliers have full understanding of the entire recruitment process and assess all labour recruiters and intermediaries against legal and/or ethical requirements.

8.4 There are effective management systems in place to identify and monitor the hiring and management of all migrant workers, contract workers, agency workers, temporary or casual labour. The supplier shall implement processes to enable adequate control over agencies with regards the above points and related legislation.

8.5 Employment agencies must only supply workers registered with them.

8.6 Workers pay no recruitment fee at any stage of the recruitment process.

8.7 Worker contracts accurately reflect the agreed payment and terms in the recruitment process and are understood and signed by workers.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Mr. Ram Raj - HR Manager is responsible for any kind of recruitment (Direct, contract or agency)
- All employees were recruited by the factory directly.
- No labor agency was used to hire workers. No temporary worker, apprenticeship schemes, or home worker was identified by the auditors.
- The facility is not using any subcontractors.
- All workers get signed labor contracts and ID cards during their recruitment.
- Factory maintains service books for all workers
- The factory has a policy to provide all kinds of compensation and benefits to the employees
- If any employees want to leave the job, he or she may leave by giving 30 day notice prior to leave as per law
- No temporary worker, apprenticeship schemes or home worker was identified by the auditor.

Evidence examined:

- Factory policy, rules and regulations, employees' personnel files and employees' ID cards etc.
- Management interview and employee interview
- The hiring and termination records.
- Worker interview

Any other comments:

None

Responsible Recruitment

All Workers

Were all workers presented with terms of employment at the time of recruitment, did they understand them and are they same as current conditions?

- | | |
|--|---|
| <input checked="" type="checkbox"/> Terms & Conditions presented | <input checked="" type="checkbox"/> Understood by workers |
| <input checked="" type="checkbox"/> Same as actual conditions | |

Did workers pay any fees, taxes, deposits or bonds for the purpose of recruitment/placement? (If yes, please describe details and specific category(ies) of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Migrant Workers	
Type of work undertaken by migrant workers:	Not applicable as no migrant worker found in this factory.
Please give details about recruitment agencies for migrant workers:	Number of (in country) recruitment agencies used: 0 Number of (outside of local country) recruitment agencies used: 0
Are migrant workers' voluntary deductions (such as for remittances) confirmed in writing by the worker and is evidence of the transaction supplied by the facility to the worker?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable as no migrant worker found in this factory.
Is there any observation on this finding?	Not applicable as no migrant worker found in this factory.
Are any migrant workers in skilled, technical or management roles? (This should include all migrant workers including permanent workers, temporary and/or seasonal workers)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Non-employee workers	
Recruitment Fees	
Are there any fees?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Agency Workers (if applicable) (Workers sourced from a local agent who are not directly paid by the site, but paid by the agency. Usually the agencies are paid by the site and the wages of the individual workers are paid by the agency.)	
Number of agencies used (average):	0
Please provide the names of agencies if applicable	Not applicable as no agency worker found in this factory.
Were agency workers' age / pay / hours included within the scope of this audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Were sufficient documents for agency workers available for review?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there a legal contract agreement with all agencies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable as no agency worker found in this factory.
Does the site have a system for checking labour standards of agencies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable as no agency worker found in this factory.
Contractors (Contractors in this context are generally individuals who supply several workers to a site. Usually the contractors are paid by the site and the wages of the workers are paid by the contractor. Common terms include, gang bosses, labor provider.)	
Any contractors on site?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable as no contractor's worker found in this factory.

Do all contractor workers understand their terms of employment?

Yes No

Please give details:

Not applicable as no contractor's worker found in this factory.

8A - Sub-Contracting and Homeworking
[Summary of Findings]

8A: Compliance Requirements

8.A.1 There should be no sub-contracting unless previously agreed with the main client.

8.A.2 Systems and processes should be in place to manage sub-contracting, homeworking and external processing.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

Mr. Ram Raj - HR Manager is responsible for any kind of sub-contracting & homeworking if applicable.

- As per the verified production record and as per the interview conducted with the management, the facility does not use any sub-contractors.

- The facility is not using any homeworkers

Evidence examined:

- Management interview & Workers interview
- Production capacity plan
- Material in/out register
- Production process of the factory
- Policies and procedures

Any other comments:

None

Summary of sub-contracting – if applicable

Is there any sub-contracting at this site? Yes No

Summary of homeworking – if applicable

Is homeworking used at this site? Yes No

<p>Does the site encourage its business partners (e.g. suppliers) to provide individuals and communities with access to effective grievance mechanisms (e.g. helplines or whistle blowing mechanism)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:</p>
<p>Is there a published and transparent disciplinary procedure?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:</p>
<p>If yes, are workers aware of these the disciplinary procedure?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:</p>
<p>Does the disciplinary procedure allow for deductions from wages (fines) for disciplinary purposes (see wages section)?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:</p>

10A - Entitlement to Work and Immigration
[Summary of Findings]

10A: Compliance Requirements

- 10.A.1 Only workers with a legal right to work shall be employed or used by the supplier.
- 10.A.2 All workers, including employment agency staff, must be validated by the supplier for their legal right to work by reviewing original documentation.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- Per document review, factory management representation, and worker interview, it was observed that all workers in the factory were local 100% were local workers and no permission is required for working from one district to another district.
- All workers had the proper legal rights to work in this region.
- All of them were recruited directly by the factory and no agency was involved in the factory's recruitment processes.
- No agency staff or foreign workers was used by the factory.
- The factory recruits new workers only by posting recruiting advertisements in the newspaper, some of the production employees were introduced by fellow villagers, and the workers did not pay any deposit when they were recruited in the factory.
- There were no deductions for items such as travel and equipment.

Evidence examined:

- Hiring procedure
- Personnel files
- Worker handbook
- Worker interview
- Management interview

Any other comments:

None

10B2 - Environment 2-Pillar
[Summary of Findings]

10B2: Compliance Requirements

10.B2.1 Suppliers must comply with the requirements of local and international laws and regulations including having necessary permits.

10.B2.2 The supplier should be aware of and comply with their end clients' environmental requirements.

Note for auditors and readers, this is not a full environmental assessment but a check on basic systems and management approach.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current Systems:

- The facility has a documented environmental management system.
- The facility continuously monitors environmental parameters and gets equipment tested.
- Structured system exists to communicate the system and provide environmental awareness and training to relevant employees.
- The site has not undergone any prosecution to date for any environmental-related matter.

Evidence examined:

Factory tour, review of license and permits, training records, management, and worker interview.

Any other comments:

None

Attachments



21.Packing Section.jpg



13.First Aid Box.jpg



20.Finishing Section.jpg



10.Fire Alarm.jpg



8.Emergency Light.jpg



19.Polishing Section.jpg



11.Fire Alarm Control Panel.jpg



17.Cutting Section.jpg



22.Finish Good.jpg



18.Sanding Section.jpg



3.Factory Building View.jpg



6.Fire Extinguisher.jpg



9.Emergency Evacuation Plan.jpg



15.Washroom.jpg



14.Suggestion Box.jpg



7.Assembly Point.jpg



12.Fire Hydrant & Hose Reel.jpg



2.Factory Main gate.jpg



16.Raw Material.jpg



4.Policy Display.jpg



1.Factory Name Plate.jpg



5.Child Labour Not Allowed.jpg



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