




SMETA Corrective Action Plan Report (CAPR)

Version 6.1



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Audit Details				
Sedex Company Reference: (only available on Sedex System)	ZC: 4397955	Sedex Site Reference: (only available on Sedex System)	ZS: 4398909	
Business name (Company name):	Aesthetic Living Merchants Pvt. Ltd.			
Site name:	Aesthetic Living Merchants Pvt. Ltd.			
Site address: (Please include full address)	Plot No. 118, Sector-8, IMT Manesar, HSIIDC, Gurugram-122052, Haryana	Country:	India	
Site contact and job title:	Mr. Ajay Kumar-Manager HR			
Site phone:	91 124 4827602	Site e-mail:	Janak.prasad@abia.in	
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health & Safety (plus Environment 2-Pillar)	<input type="checkbox"/> Environment 4-pillar	<input type="checkbox"/> Business Ethics
Date of Audit:	19 January 2022 / Desktop Reviewed Date 10th February 2022			

Audit Company Name & Logo: 	Report Owner (payer): Aesthetic Living Merchants Pvt. Ltd.
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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)			

Report written in black = Follow Up Audit / 19th January 2022
Report written in Blue = Desktop Review / 10th February 2022

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.

Any exceptions to this must be recorded here (e.g. different sample size):

Auditor Team (s) (please list all including all interviewers):

Lead auditor : Amit Kundra, auditor

Team auditor: NA

Interviewers: NA

Report writer: Amit Kundra

Report reviewer: Meeta Pednekar

Desktop Reviewed Date 10th February 2022

Date of declaration: 19.01.2022

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.

This report provides a summary of the findings and other applicable information found/gathered during the social audit conducted on the above date only and does not officially confirm or certify compliance with any legal regulations or industry standards. The social audit process requires that information be gathered and considered from records review, worker interviews, management interviews and visual observation. More information is gathered during the social audit process than is provided here. The audit process is a sampling exercise only and does not guarantee that the audited site prior, during or post-audit, are in full compliance with the Code being audited against. The provisions of this Code constitute minimum and not maximum standards and this Code should not be used to prevent companies from exceeding these standards. Companies applying this Code are expected to comply with national and other applicable laws and where the provisions of law and this Code address the same subject, to apply that provision which affords the greater protection. The ownership of this report remains with the party who has paid for the audit. Release permission must be provided by the owner prior to release to any third parties.

Audit Parameters

Audit Parameters			
A: Time in and time out	Day 1 Time in: 09:40 Am Day 1 Time out: 06:15 Pm	Day 2 Time in: NA Day 2 Time out: NA	Day 3 Time in: NA Day 3 Time out:
B: Number of auditor days used:	1 Audit Day (01 Auditors X 01 day)		
C: Audit type:	<input type="checkbox"/> Full Initial <input type="checkbox"/> Periodic <input type="checkbox"/> Full Follow-up <input checked="" type="checkbox"/> Partial Follow-Up <input checked="" type="checkbox"/> Partial Other –Desktop Review If other, please define:		
D: Was the audit announced?	<input type="checkbox"/> Announced <input checked="" type="checkbox"/> Semi – announced: Window detail: 12 January 2021 to 29 January 2021 <input type="checkbox"/> Unannounced		
E: Was the Sedex SAQ available for review?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If No, why not		
F: Any conflicting information SAQ/Pre-Audit Info to Audit findings?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes , please capture detail in appropriate audit by clause		
G: Who signed and agreed CAPR (Name and job title)	Mr. Ajay Kumar-Manager-HR		
H: Is further information available (if yes, please contact audit company for details)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
I: Previous audit date:	10.09.2021		
J: Previous audit type:	Initial		
K: Were any previous audits reviewed for this audit	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A		
Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
B: Present at the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
C: Present at the closing meeting?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

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D: If Worker Representatives were not present please explain reasons why <i>(only complete if no worker reps present)</i>	Worker representative was found busy in production work.
E: If Union Representatives were not present please explain reasons why: <i>(only complete if no union reps present)</i>	No union exists at audited site. Not Required Legally

Guidance

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

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

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

Root cause (see column 4)

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

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

Next Steps:

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

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Corrective Action Plan

Corrective Action Plan – non-compliances									
Non-Compliance Number <i>The reference number of the non-compliance from the Audit Report, for example, Discrimination No.7</i>	New or Carried Over <i>Is this a new non-compliance identified at the follow-up or one carried over (C) that is still outstanding</i>	Details of Non-Compliance <i>Details of Non-Compliance</i>	Root cause <i>(completed by the site)</i>	Preventative and Corrective Actions <i>Details of actions to be taken to clear non-compliance, and the system change to prevent re-occurrence (agreed between site and auditor)</i>	Timescale <i>(Immediate, 30, 60, 90, 180, 365)</i>	Verification Method <i>Desktop / Follow-Up [D/F]</i>	Agreed by Management and Name of Responsible Person: <i>Note if management agree to the non-compliance, and document name of responsible person</i>	Verification Evidence and Comments <i>Details on corrective action evidence</i>	Status <i>Open/Closed or comment</i>
0B- Management systems and code implementation	New-1	It was noted during the review of records and audit process that 02 Air compressor and 01 rest room at terrace floor not included in approved building layout plan dated 13/01/2020. Local Law -In accordance with The Punjab Factory Rules 1952 as	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to include all the machines and area, rooms in the approved building layout plan.	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022 Status Corrected It was found during facility tour that the compressor is not functional and its connections/wires are cut off. It is not operational and only kept at the terrace. The rest room is locked as it is not required as per law.	Closed

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		applicable to Haryana, Rule 3, no building shall be constructed on any site on which a factory is to be situated or for the extension or use as a factory or a part of factory after the date of the commencement of these rules, unless previous permission in writing is obtained from the Chief Inspector of Factories.							
OB- Management systems and code implementation	New-2	It was noted during the review of records and audit process that facility has no written policy and guideline for trainee employees. As per management	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please	It is recommended to the facility to have written policy and guideline for trainee employees.	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022 Status corrected Based on record review the facility has provided written policy and guideline for trainee employees. These	Closed

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		<p>facility has 05 trainee employees.</p> <p>Local Law -It accordance ETI code requirement</p>	<p>give details:</p>					<p>trainee employees have sourced from TEAM LEASE, A AICTE initiative to provide on the job practical training</p>	
<p>3.0-Safety and Hygienic Conditions</p>	New-1	<p>It was noted during the facility tour that Eye wash station not installed near chemical store at second floor, chemical store at periphery area and powder coating section at ground floor and washing section at second floor.</p> <p>Further 01 eye wash station at ground floor not installed at appropriate location as eye wash station installed in toilets</p>	<p><input type="checkbox"/> Training</p> <p><input checked="" type="checkbox"/> Systems</p> <p><input type="checkbox"/> Costs</p> <p><input type="checkbox"/> lack of workers</p> <p><input type="checkbox"/> Other – please give details:</p>	<p>It is recommended to the facility to installed eye wash station near chemical store area at appropriate location.</p>	30 Days	Desktop	<p>Yes- Mr. Mr. Ajay Kumar-- Manager HR</p>	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>Based on facility tour eye wash station were installed at chemical store at second floor, chemical store at periphery area and powder coating section at ground floor and washing section at second floor.</p>	Closed

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		<p>for male employees at ground floor</p> <p>Local Law - In accordance with Punjab Factory Rules 1952 as applicable to Haryana, Schedule – II, (2) In addition to the facility in sub-paragraph 1, an approved type emergency shower with eye fountain shall be provided and maintained in good working order. Whenever necessary, in order to ensure continuous water supply, storage tank of 1500 litres capacity shall be provided as a source of clean water</p>							
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		for emergency use.							
3.0-Safety and Hygienic Conditions	New-2 Carried over	<p>It was noted during the facility tour that textile accessories stored located under 01 staircase out of 02 leading from basement to ground floor.</p> <p>Local Law: In accordance with the Factories Act 1948, Section 38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>It is recommended to the facility to relocate the textile accessories store and ensure no fire familiar material shall be stored under staircase.</p>	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status not corrected</p> <p>Based on facility tour textile accessories material was still stored located under 01 staircase out of 02 leading from basement to ground floor.</p>	<p>Closed on 10th February 2022 by Desktop Review</p> <p>Closed on SEDEX on 10th February 2022</p>

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		persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in every Facility all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases.							
3.0-Safety and Hygienic Conditions	New-3	It was noted during the facility tour that Raw material goods not stored at a safe height as goods were stored up to the	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers	It is recommended to the facility to ensure that production goods shall not be stored at unsafe height.	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022 Status corrected Based on facility tour the raw material are now stored at a safe height	Closed

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		<p>roof height in basement.</p> <p>Low / ETI Requirement: In accordance with the Factories Act 1948, Section 38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in</p>	<input type="checkbox"/> Other – please give details:					<p>from the roof in the basement</p>	
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		every Facility all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases.							
3.0-Safety and Hygienic Conditions	New-4	<p>It was noted during the tour of the facility that escape routes found faded in accessories store for leather goods in basement.</p> <p>Further escape routes not fully marked in bag production at second floor.</p> <p>Law / ETI Requirement: In accordance with the Factories Act 1948, Section</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to remark escape routes in leather goods in basement and in bag production at second floor.	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>Based on facility tour the escape route in accessories store for leather goods in basement and escape routes now fully marked in bag production at second floor.</p>	Closed

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		<p>38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire.</p> <p>(2) Effective measures shall be taken to ensure that in every Facility all the workers are familiar with the means of escape in case of fire and have been adequately</p>							
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		trained in the routine to be followed in such cases							
3.0-Safety and Hygienic Conditions	New-5	<p>It was noted during the tour of the facility that the main electrical panel located in basement which may not be accessible in case of fire emergency</p> <p>Local Law - In accordance with Factories Act 1948, Section 7A (1) every occupier shall ensure, so far as is reasonably practicable, the health, safety and welfare of all workers while they are at work in the factory. (2) Without prejudice to the</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to install electrical panel at a safe & easily accessible location.	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>The said electrical panel has been approved by the appropriate/concerned authorities. Moreover, the panel has been adequately caged with danger sign instructions. The facility has been advised not to store any inflammable material near the electrical panel.</p>	Closed

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		generality of the provisions of sub-section (1), the matters to which such duty extends, shall include (a) the provision and maintenance of plant and systems of work in the factory that are safe and without risks to health, (b) the arrangements in the factory for ensuring safety and absence of risks to health in connection with the use, handling, storage and transport of articles and substances,(c) the provision of such information, instruction, training and supervision as are necessary to							
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		ensure the health and safety of all workers at work.							
3.0-Safety and Hygienic Conditions	New-6	<p>It was noted during the tour of the facility that escape routes found blocked in powder coating section at ground floor as working table installed in the escape routes and 04 employees found working on table.</p> <p>Law / ETI Requirement: In accordance with the Factories Act 1948, Section 38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread,</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility not to obstruct escape routes in any of the working area.	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>Based on facility tour it was found that escape routes have been unblocked in powder coating section at ground floor. as working table installed in the escape routes and 04 employees found working on table was cleared</p>	Closed

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		both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in every Facility all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases							
3.0-Safety and Hygienic Conditions	New-7	It was noted during the facility tour that 02 out	<input type="checkbox"/> Training	It is recommended to the facility to maintain all the	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022	Closed

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		<p>04 toilet for male employees at ground floor not maintained in clean condition.</p> <p>Local Law - In accordance with Punjab Factories Rules 1952 as applicable to Haryana 17 18 Latrines and Urinals. Section 19 and Rules (d) all such accommodation shall be maintained in a clean and sanitary conditions at all times.(e) Sweepers shall be employed whose primary duty it would be to keep clean latrines , urinals and washing places.</p>	<input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>toilets in clean condition.</p>				<p>Status corrected</p> <p>Based on facility tour it was found that 1 out of 4 toilets for male employees at ground floor 1 has been temporarily closed and other three are found to be maintained in a clean condition</p>	
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3.0-Safety and Hygienic Conditions	New-8	<p>It was noted during the facility tour that belt guard not provided to the 06 manual embroidery machine at first floor however manual embroidery section found not working on the day of audit.</p> <p>Local Law - In accordance with Factories Act 1948, Section 26 (1) (a), every set screw, bolt or key on any revolving shaft, spindle, wheel or pinion shall be so sunk, encased or otherwise effectively guarded as to prevent danger.</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>It is recommended to the facility to provide belt guard to all the manual embroidery machine before it uses for worker safety.</p>	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>Based on facility tour the belt guard is now provided to all 6 out of 6 manual embroidery machines at first floor</p>	Closed
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3.0-Safety and Hygienic Conditions	New-9	<p>It was noted during the facility tour that 01 Exit not marked with illuminated exit sign board in packing section at first floor. Further emergency light not installed on said exit.</p> <p>Law / ETI Requirement: In accordance with the Factories Act 1948, Section 38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>It is recommended to the facility to mark illuminated exit sign board and emergency light on exit in packing section at first floor.</p>	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>Based on facility tour it was noted that 01 Exit now marked with illuminated exit sign board in packing section at first floor. And emergency light now installed at the said exit.</p>	Closed
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		event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in every Facility all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases							
3.0-Safety and Hygienic Conditions	New-10	It was noted during the tour of the facility that secondary containment not provided and MSDS displayed for chemical stored in printing	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other –	It is recommended to the facility to provide secondary containment to all the chemicals and to post MSDS for all the	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-Manager HR	Partial follow up audit conducted on 19.01.2022 Status corrected Based on facility tour it was noted that secondary containment was now provided and MSDS displayed for	Closed

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		<p>section at second floor. Printing was not working on the day of audit.</p> <p>Local Law - In accordance with Punjab Factory Rules 1952 as applicable to Haryana, Rule 67-K[Framed U/S 41-B & 112 of the Act] Disclosure of information to workers (1) The occupier of a factory carrying on a hazardous process shall supply to all workers the following information in relation to handling of hazardous materials or substances in the</p>	<p>please give details:</p>	<p>chemicals in local language.</p>				<p>chemical stored in printing section at second floor. Printing was not working on the day of audit.</p>	
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		manufacture, transportation, storage and other processes (c) location and availability of all Material Safety Data Sheets as provided in rule 67-J; (d) physical and health hazards arising from the exposure to or handling of substances; (e) measures taken by the occupier to ensure safety and control of physical and health hazards;							
3.0-Safety and Hygienic Conditions	New-11	It was noted during the facility tour that 03 out of 04 employees working in powder coating section found	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers	It is recommended to the facility to ensure all employees working in powder coating shall	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022 Status corrected Based on facility tour 04 out of 04 employees working in powder	Closed

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		<p>using fabric mask instead of respiratory mask at ground floor</p> <p>Local Law - In accordance with Punjab Factory Rules 1952 as applicable to Haryana, Rule 67-K[Framed U/S 41-B & 112 of the Act] Disclosure of information to workers</p> <p>(1) The occupier of a factory carrying on a hazardous process shall supply to all workers the following information in relation to handling of hazardous materials or substances in the manufacture,</p>	<input type="checkbox"/> Other – please give details:	use chemical mask.				<p>coating section now found using respiratory mask at ground floor</p>	
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		transportation, storage and other processes (c) location and availability of all Material Safety Data Sheets as provided in rule 67-J; (g) personal protective equipment required to be used by workers employed in hazardous process or dangerous operations;							
3.0-Safety and Hygienic Conditions	New-12	It was noted during the facility tour that facility has installed ropes for garment drying process in washing section at low height over the escape routes at second floor which may	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to ensure that escape routes shall not be obstructed in any way during the working hours.	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022 Status corrected Based on facility tour it was found that the ropes for garment drying process have now been removed	Closed

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		<p>cause fall hazard during the emergency evacuation of employees.</p> <p>Law / ETI Requirement: In accordance with the Factories Act 1948, Section 38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing</p>							
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		fire. (2) Effective measures shall be taken to ensure that in every Facility all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases							
5. <u>Living Wages and Benefits</u>	New-1	It was noted during the review of records that wage record not maintained including wage payment proof for 05 Helpers (found working on production floor). As per management they are hired as trainee.	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to maintain wage record for all the employees.	60 Days	Follow up	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022 Status corrected Based on record review wage records and bank payment records for the period September 2021 to December 2021 this documentary record proves that these five employees are trainees from NEEM.	Closed

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		<p>However, no documentary evidence provided for the same.</p> <p>Local Law -In accordance with Minimum wages Act 1948 Sec 12(1) Where in respect of any scheduled employment a notification under section 5 is in force, the employer shall pay to every employee engaged in a scheduled employment under him, wages at a rate not less than the minimum rate of wages fixed by such notification for that class of employees in that</p>							
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		employment without any deductions except as may be authorized within such time and subject to such conditions as may be prescribed.							
5. <u>Living Wages and Benefits</u>	New-2	It was noted during the audit process and review of record that 05 Helpers (found working on production floor) not provided with social benefits such as employee provident fund, employee state insurance & Labour welfare fund. As per management they are hired as trainee.	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to provide social benefits to all the employees working in the facility.	60 Days	Follow up	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022 Status corrected These employees are not helpers but trainees from NEEM (national Employability Enhancement mission) a AICTE mission for increase in employment. As per point 5.4 any stipend paid to a trainee is not subject to any other deduction of payment	Closed

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		<p>However, no documentary evidence provided for the same.</p> <p>Facility has maintained their age proof record, Bio-data form, time record.</p> <p>Local Law - In accordance with the Provident Fund Act 1952 and Employees State Insurance Scheme Act 1948, all factories with more than 20 workers should provide Provident Fund and Employees State Insurance benefits</p> <p>In accordance with Employee State Insurance Act, 1948,</p>							
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		Section 1, Clause 2, it extends to the whole of India (4) it shall apply, in the first instance, to all factories (including factories belonging to the Government) other than seasonal factories (6) A factory or an establishment to which this act applies shall continue to be governed by this act notwithstanding that the number of persons employed therein at any time falls below the limit specified by or under this act							
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5. <u>Living Wages and Benefits</u>	New-3	<p>It was noted during the audit process and review of record that wage transfer proof (bank statement) not maintained for 08 security guard hired from M/s Apex Security Service Pvt. Ltd. For August 2021</p> <p>Local Law - In accordance with The Payment of Wages Act 1936, Under Section 13A (1) Register of payment of wages giving particulars of persons employed, nature of the work performed by them, wages</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to maintain wage transfer proof for all the agency employees for all the months.	60 Days	Follow up	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>Based on record review the wage Transfer proof (bank statement) now maintained for 08 security guard hired from M/s Apex Security Service Pvt. Ltd. from September 2021 to November 2021</p>	Closed
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		paid and the deductions made there from, the receipts given by them and other prescribed particulars.							
6 Working Hours	New-1	<p>It was noted during the review of records that facility has not maintained In & out record for 08 security guard hired from M/s Apex Security Service Pvt. Ltd. However, facility has maintained muster roll for all the security guards where "A" is marked for absent, and "P" is marked for present.</p> <p>Local Law - In accordance</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to maintain In & out record for all the security guards.	60 Days	Follow up	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>Based on record review facility has maintained In & out record for 08 security guard hired from M/s Apex Security Service Pvt. Ltd. from October 2021 to December 2021</p>	Closed

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		with Punjab Factories Rules 1952 as applicable to Haryana, CHAPTER-VI, Rule 83, (4) (a) The Manager shall maintain a Register in Form No 9. Provided that if the Chief Inspector of Factories is of the opinion that any muster-roll or register maintained as part of routine of the factory or return made by the Manager, gives in respect of any or all of the workers in the factory the particulars required for the enforcement of Section 52, he may, by order in writing, direct							
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		that such muster-roll or register or return shall, to the corresponding extent, be maintained in place of and be treated as the register of return required under this rule, for that factory.							
8 Regular Employment	New -1	It was noted during the review of records that personal files including appointment letter not maintained for 05 Helpers (found working on production floor) As per management they are hired as trainee.	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended to the facility to maintain personal files including appointment letter for all the employees and copy of appointment letter shall be provided to all the employees.	60 days	Follow up	Yes- Mr. Mr. Ajay Kumar-- Manager HR	Partial follow up audit conducted on 19.01.2022 Status corrected Based on record review the personal files are available for the 5 Trainees from NEEM	Closed

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		<p>However, no documentary evidence provided for the same.</p> <p>Facility has maintained their age proof record & Bio-data form.</p> <p>Local Law - According to Schedule I-B of the Model Standing Orders on additional items applicable to all industries: (1) SERVICE RECORD: Matters relating to service card, token tickets, certification of service, change of residential address of workers and record of age.</p>							
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		<p>(i) Service Card.- Every industrial establishment shall maintain a service card in respect of each workman in the form appended to these orders, wherein particulars of that workman shall be recorded with the knowledge of that workman and duly attested by an officer authorised in this behalf together with date.</p> <p>(ii) Certification of service.- (a) Every workman shall be entitled to a service certificate, specifying the nature of work (designation) and the period of employment (indicating the days, months, years), at the time of discharge,</p>							
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		termination, retirement or resignation from service;							
<u>Environment 2- Pillar</u>		<p>It was noted during the facility tour that Wastewater pipe of Effluent Treatment Plant found leak due to that wastewater found fall all over the one side of periphery area.</p> <p>Local Law - In accordance with Factories Act 1948 Sec 12 (1) Effective arrangements shall be made in every factory for the treatment of wastes and effluents due to the manufacturing process carried on therein, so as</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>It is recommended to the facility to repair wastewater pipe of ETP and store all the waste water in designated storage tank.</p>	30 Days	Desktop	Yes- Mr. Mr. Ajay Kumar-- Manager HR	<p>Partial follow up audit conducted on 19.01.2022</p> <p>Status corrected</p> <p>Based on Facility tour leakage from Wastewater pipe of Effluent Treatment Plant has been plugged and there is no fall of wastewater at either side of periphery</p>	Closed

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		to render them innocuous and for their disposal.							

Corrective Action Plan – Observations				
Observation Number <i>The reference number of the observation from the Audit Report, for example, Discrimination No.7</i>	New or Carried Over <i>Is this a new observation identified at the follow-up or one carried over (C) that is still outstanding</i>	Details of Observation <i>Details of Observation</i>	Root cause <i>(completed by the site)</i>	Any improvement actions discussed <i>(Not uploaded on to SEDEX)</i>
		None observed		

Good examples		
Good example Number <i>The reference number of the good example from the Audit Report, for example, Discrimination No.7</i>	Details of good example noted	Any relevant Evidence and Comments

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	None observed	



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Confirmation

<p>Please sign this document confirming that the above findings have been discussed with and understood by you: (site management) <i>If actual signatures are not possible in electronic versions, please state the name of the signatory in applicable boxes, as indicating the signature.</i></p>		
A: Site Representative Signature:	Mr. Ajay Kumar	<p>Title: Manager HR</p> <p>Date: 19.01.2022</p>
B: Auditor Signature:	Amit Kundra	<p>Title: Auditor</p> <p>Date: 19.01.2022</p>
<p>C: Please indicate below if you, the site management, dispute any of the findings. No need to complete D-E, if no disputes.</p>		
<p>D: I dispute the following numbered non-compliances:</p>		
E: Signed: (If <u>any</u> entry in box D, please complete a signature on this line)		<p>Title</p> <p>Date</p>
<p>F: Any other site Comments:</p>		

Guidance on Root Cause

Explanation of the Root Cause Column

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

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

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

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

Some examples of finding a "root cause"

Example 1

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

Example 2

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

Example 3

A site uses fines to control unacceptable behaviour of workers.

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

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

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

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

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



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

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

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