



SMETA Corrective Action Plan Report (CAPR)

Version 6.1



Audit Content:

(1) A SMETA audit was conducted which included some or all of Labour Standards, Health & Safety, Environment and Business Ethics. The SMETA Best Practice Version 6.1 (March 2019) was applied. The scope of workers included all types at the site e.g. direct employees, agency workers, workers employed by service providers and workers provided by other contractors. Any deviations from the SMETA Methodology are stated (with reasons for deviation) in the SMETA Declaration.

(2) The audit scope was against the following reference documents

2-Pillar SMETA Audit

- ETI Base Code
- SMETA Additions
 - Universal rights covering UNGP
 - Management systems and code implementation,
 - Responsible Recruitment
 - Entitlement to Work & Immigration,
 - Sub-Contracting and Home working,

4-Pillar SMETA

- 2-Pillar requirements plus
- Additional Pillar assessment of Environment
- Additional Pillar assessment of Business Ethics
- The Customer's Supplier Code (Appendix 1)

(3) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.

(4) Any Non-Compliance against customer code shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

Guidance

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

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

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

Root cause (see column 4)

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

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

Next Steps:

1. The site shall request, via Sedex, that the audit body upload the audit report, non-compliances, observations and good examples. If you have not already received instructions on how to do this then please visit the web site www.sedexglobal.com.
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).

| Audit Details | | | | |
|---|---|---|---|--|
| Sedex Company Reference: <i>(only available on Sedex System)</i> | ZC418601708 | Sedex Site Reference: <i>(only available on Sedex System)</i> | ZS418620912 | |
| Business name (Company name): | Jay Agro Export | | | |
| Site name: | Jay Agro Export | | | |
| Site address: | Gat No- 80/4, At post- Parmori Taluka-Dindori Nashik 422202 IN | Country: | IN | |
| Site contact and job title: | Mr Ravindra Gunjal / Packhouse Manager | | | |
| 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: | 2023-04-13 | | | |

| Audit Company Name: |
|---------------------|
| DQS CFS GmbH |

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

| Audit Parameters | | | |
|---|--|-------|--|
| Time in and time out | Day 1 | | |
| | In | 10:00 | |
| | Out | 18:30 | |
| Audit type: | FULL_INITIAL | | |
| Was the audit announced? | 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 Ravindra Gunjal / Packhouse Manager | | |
| Is further information available | No | | |

| Audit attendance | Management | Worker Representatives | |
|---|---|----------------------------------|-----------------------|
| | Senior management | Worker Committee representatives | Union representatives |
| A: Present at the opening meeting? | Yes | Yes | No |
| B: Present at the audit? | Yes | Yes | No |
| C: Present at the closing meeting? | Yes | Yes | No |
| Reason for absence at the opening meeting | No union formed, not legally required. | | |
| Reason for absence during the audit | Worker representative was present during the opening meeting and closing meeting but not present in audit process due to busy in production process. No union formed, not legally required. | | |
| Reason for absence at the closing meeting | No union formed, not legally required. | | |

Summary of Findings


| Issue <small>(please click on the issue title to go direct to the appropriate audit results by clause)</small> | Area of Non-Conformity | | Number of issues | | | Findings |
|---|--|----------------------------------|------------------|-----|----|--|
| | ETI | Local Law | NC | Obs | GE | |
| <u>3 - Working conditions are safe and hygienic</u> | 3.1 3.1 3.1 3.1 3.1 3.1 3.1 3.1 | §1 §2 §3 §4 §5 §6 | 8 | 0 | 0 | NC - bf0deaba-2043-4ab1-a4cb-ecee4b7777ac NC - 28de47d3-87c8-4944-8952-db9778ef3b76 NC - 77dae5e3-93d2-4ecd-a08f-cc266e7d1ac2 NC - 8b62ebcd-247f-42b0-8e2d-593450bd96a5 NC - eaca26d3-81da-4ae3-8ed6-a7967faa64c2 NC - a122ab46-6dae-42b7-8ecb-ca3920b6d54e NC - 8ae8497e-e751-4938-baf6-4924ed138208 NC - 86aa81d5-de03-4533-a42a-6f5433463b89 |
| <u>9 - No harsh or inhumane treatment is allowed</u> | 9.2 | §7 | 1 | 0 | 0 | NC - 5c193a37-0500-42dc-b053-7bb2c2dbed82 |

Local Law Issues


| Issue | Description |
|-------|---|
| §1 | In accordance with Factories Act 1948, Section 7A (1) every occupier shall ensure, so far as is reasonably practicable, the health, safety and welfare of all workers while they are at work in the factory. (2) Without prejudice to the generality of the provisions of sub-section (1), the matters to which such duty extends, shall include- (a) the provision and maintenance of plant and systems of work in the factory that are safe and without risks to health, (b) the arrangements in the factory for ensuring safety and absence of risks to health in connection with the use, handing, storage and transport of articles and substances, (c) the provision of such information, instruction, training and supervision as are necessary to ensure the health and safety of all workers at work. |
| §2 | In accordance with the Factories Act 1948, Section 38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in every Facility all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases. As per section 2.37 of Nation Building Code of fire safety gates . As per IS: 6248, standard reflects that stopper to be well provided on rolling shutters above ground height as per actual state of floor height. |
| §3 | As per Maharashtra Factories Rules, 1963 , 9. Fire exits - (a) In this rule (d) In every room of a factory exits sufficient to permit safe escape of the occupants in case of fire or other emergency shall be provided with shall be free of any obstruction. There shall be at least two ways of escape from every room and the exits shall be as remote from each other as possible and shall be arranged to provide direct access in separate directions from any point in the area served. (i) All exits shall provide continuous means of egress to the exterior of a building or to an exterior open space leading to a street. |

| | |
|----|--|
| §4 | In Accordance with Maharashtra Factories Rules, 1963 Rules prescribed under sub-section (2) of section 31 and section 112 [65. Safety measures for pressure plant and vessels operated under pressure over atmospheric pressure - (1) In this rule,- (3)(i) Every pressure plant or pressure vessel shall be fitted with- (4) Ever pressure plant in service shall be thoroughly examined by a competent person,- (a) externally once in every period of six months; (b) internally, once in every period of twelve months, |
| §5 | In Accordance with Maharashtra Factories Rules, 1963 Rules prescribed under section 11. Fire-extinguishers - An adequate number of suitable types of fire extinguishers or other firefighting equipments, depending on the nature of the chemicals stored in any place in a factory, shall be placed near each such place and such fire-extinguishers or other fire-fighting equipment's shall be regularly tested and refilled. Clear instructions as to how the extinguishers or other equipments should be used, printed in the language which the majority of the workers employed in such factory understand, shall be affixed near each extinguisher or other equipment. Sufficient number of workers shall be trained in fire-fighting practices. |
| §6 | In accordance with the Factories Act 1948, Section 38 (1) In every factory, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in every factory all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases. |
| §7 | As per Section 4 of the PoSH Act: A senior female employee should head the PoSH Committee, At least half of the PoSH Committee members should be women, and. One member should be from an NGO or an association that works for women's empowerment. |



Corrective Action Plan - Non Compliances

| Non-Compliance | | Evidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|----------|----------------|--|--------|------|-----------|--------------------------------------|--------|--|-------------|--|-------------|-----------------|----------------------|---|------------|---|--------------------|--|-----------------|--|----------|---|-----------------------------------|--|------------------|--|-----------|---|--|
| [Back to findings summary] | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1"> <thead> <tr> <th colspan="2">Non-Compliance</th> </tr> </thead> <tbody> <tr> <td>Status</td> <td>OPEN</td> </tr> <tr> <td>Reference</td> <td>bf0deaba-2043-4ab1-a4cb-ecce4b7777ac</td> </tr> <tr> <td>Clause</td> <td>3 - Working conditions are safe and hygienic</td> </tr> <tr> <td>Issue Title</td> <td>228 - Unsafe handling of electrical equipment e.g. no rubber mats in front of electricity panels</td> </tr> <tr> <td>Subcategory</td> <td>Electrical risk</td> </tr> <tr> <td>New or carried over?</td> <td> <input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over </td> </tr> <tr> <td>Root cause</td> <td> <input type="checkbox"/> Training <input checked="" type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input type="checkbox"/> Other </td> </tr> <tr> <td>Root cause - Other</td> <td></td> </tr> <tr> <td>Local law issue</td> <td> <p>In accordance with Factories Act 1948, Section 7A (1) every occupier shall ensure, so far as is reasonably practicable, the health, safety and welfare of all workers while they are at work in the factory. 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| Non-Compliance | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Status | OPEN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Reference | bf0deaba-2043-4ab1-a4cb-ecce4b7777ac | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Clause | 3 - Working conditions are safe and hygienic | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Issue Title | 228 - Unsafe handling of electrical equipment e.g. no rubber mats in front of electricity panels | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Subcategory | Electrical risk | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Explanation to the non compliance | <p>Based on the audit process on the day of Audit during Facility tour it was noted that the facility has not provided insulation mat in / under electrical control panel in Utility Section .</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 | It is recommended to the Facility to provide insulation mat under all electrical panel in the facility . | |
|---------|--|--|

| Non-Compliance | | Evidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|----------------|--|--------|------|-----------|--------------------------------------|--------|--|-------------|---|-------------|--|----------------------|---|------------|---|--------------------|--|-----------------|--|----------|---|-----------------------------------|---|------------------|--|-----------|---|---------|---|--|
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| Non-Compliance | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Status | OPEN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Reference | 28de47d3-87c8-4944-8952-db9778ef3b76 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Clause | 3 - Working conditions are safe and hygienic | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Issue Title | 214 - No evacuation plan or designated emergency exit route | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Subcategory | Fire Safety - Fire alarms & Evacuation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Local law issue | <p>In accordance with the Factories Act 1948, Section 38 (1) In every Facility, all practicable measures shall be taken to prevent outbreak of fire and its spread, both internally and externally, and to provide and maintain (a) safe means of escape for all persons in the event of a fire, and (b) the necessary equipment and facilities for extinguishing fire. (2) Effective measures shall be taken to ensure that in every Facility all the workers are familiar with the means of escape in case of fire and have been adequately trained in the routine to be followed in such cases. As per section 2.37 of Nation Building Code of fire safety gates . As per IS: 6248, standard reflects that stopper to be well provided on rolling shutters above ground height as per actual state of floor height.</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>During the site tour in facility, it was observed that there was no provision of latch/Stopper in rolling shutter to hold shutter in case of exit in Entrance area .</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 to the Facility to Provide</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |



| | | |
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| | <div>latch/Stopper in all rolling shutter.</div> | |
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| Non-Compliance | | Evidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|----------|----------------|--|--------|------|-----------|--------------------------------------|--------|--|-------------|---|-------------|--|----------------------|---|------------|---|--------------------|--|-----------------|--|----------|--|-----------------------------------|---|------------------|--|-----------|---|---------|---|--|
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| Non-Compliance | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Status | OPEN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Reference | 77dae5e3-93d2-4ecd-a08f-cc266e7d1ac2 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Clause | 3 - Working conditions are safe and hygienic | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Issue Title | 214 - No evacuation plan or designated emergency exit route | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Subcategory | Fire Safety - Fire alarms & Evacuation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Actions | It is recommended to the Facility to Mark the Aisles in Grapes Processing Packing section on Ground floor . | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| Non-Compliance | | Evidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Non-Compliance | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Status | OPEN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Reference | 8b62ebcd-247f-42b0-8e2d-593450bd96a5 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Clause | 3 - Working conditions are safe and hygienic | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Issue Title | 305 - No / inadequate air quality test | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Subcategory | Worker Health | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Explanation to the non compliance | Based on the audit process on the day of Audit during management interaction & document review it was noted that facility has not carried out air quality test . | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Follow up method | <input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Non-Compliance | | Evidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|--|--|----------------|--|--------|------|-----------|--------------------------------------|--------|--|-------------|--|-------------|---------------|----------------------|---|------------|---|--------------------|--|----------|--|-----------------------------------|--|------------------|--|-----------|---|---------|---|--|
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| Non-Compliance | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Status | OPEN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Clause | 3 - Working conditions are safe and hygienic | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Issue Title | 307 - No / inadequate noise assessment conducted | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Subcategory | Worker Health | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 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 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| Non-Compliance | | Evidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|---|----------|----------------|--|--------|------|-----------|--------------------------------------|--------|--|-------------|--|-------------|-----------|----------------------|---|------------|---|--------------------|--|-----------------|---|----------|--|-----------------------------------|---|------------------|--|-----------|---|---------|--|--|
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| Non-Compliance | | Evidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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SMETA Declaration

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

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

| Auditor Team | | | |
|----------------------|------------|---------------|----------|
| Lead Auditor: | Arun Gupta | APSCA Number: | 21705563 |
| Additional Auditors: | | | |
| Date of declaration: | 2023-04-13 | | |

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 Ravindra Gunjal |
| Title: | Packhouse Manager |
| Date of declaration: | 2023-04-13 |
| Comments: | None |

Guidance on Root Cause

Explanation of the Root Cause Column

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

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

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

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

Some examples of finding a “root cause”

Example 1

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

Example 2

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

Example 3

A site uses fines to control unacceptable behaviour of workers.

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

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

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

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

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



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

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

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http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d

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

http://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRgIY_2brg_3d_3d

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