

Sedex Members Ethical Trade Audit (SMETA) Report

Version 5.0 Dec 2014, 2/4 Pillar Audit; replaces version 4.0 May 2012

Supplier name:	Raj Overseas	
Site country:	India	
Site name:	Raj Overseas	
Parent Company name (of the site):	Raj Overseas	
SMETA Audit Type:	<input checked="" type="checkbox"/> 2-Pillar	<input type="checkbox"/> 4-Pillar
Date of Audit	21 March, 2017	

Audit Content:

- (1) A SMETA audit was conducted which included some or all of Labour Standards, Health and Safety, Environment and Business ethics. The SMETA Best Practice Guidance Version 5 December 2015 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
 - Management systems and code implementation,
 - 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 new ETI Working Hours Clause
 - Now integrated into this latest SMETA version.

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.





Audit Company Name: Intertek	Report Owner (payee): Raj Overseas
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZS: 1016653
Sedex Site Reference: <i>(only available on Sedex System)</i>	ZC 1064992

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

Auditor Reference Number: <i>(If applicable)</i>	Not applicable
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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.

Any exceptions to this must be recorded here (e.g. different sample size): None

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

Auditors: Parul Jaglan & Madhukar Prakash

Interviewers: Madhukar Prakash

Date: 21 March, 2017

Non-Compliance Table

Issue <i>(please click on the issue title to go direct to the appropriate audit results by clause)</i>	Area of Non-Conformity <i>(Only check box when there is a non-conformity, and only in the box/es where the non-conformity can be found)</i>			Record the number of issues by line*:		
	ETI Base Code	Local Law	Additional Elements (i.e. not part of ETI code)	NC	Obs	GE
0 Management systems and code implementation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	01	00	00
1 Employment Freely Chosen	<input type="checkbox"/>	<input type="checkbox"/>		00	00	00
2 Freedom of Association	<input type="checkbox"/>	<input type="checkbox"/>		00	00	00
3 Safety and Hygienic Conditions	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		03	00	00
4 Child Labour	<input type="checkbox"/>	<input type="checkbox"/>		00	00	00
5 Wages and Benefits	<input type="checkbox"/>	<input type="checkbox"/>		00	00	00
6 Working Hours	<input type="checkbox"/>	<input type="checkbox"/>		00	00	00
7 Discrimination	<input type="checkbox"/>	<input type="checkbox"/>		00	00	00
8 Regular Employment	<input type="checkbox"/>	<input type="checkbox"/>		00	00	00
8A Sub-Contracting and Homeworking		<input type="checkbox"/>	<input type="checkbox"/>	00	00	00
9 Harsh or Inhumane Treatment	<input type="checkbox"/>	<input type="checkbox"/>		00	00	00
10A Entitlement to Work		<input type="checkbox"/>	<input type="checkbox"/>	00	00	00
10B2 Environment 2-Pillar		<input type="checkbox"/>	<input type="checkbox"/>	00	00	00
10B4 Environment 4-Pillar		<input type="checkbox"/>	<input type="checkbox"/>	N/A	N/A	N/A
10C Business Ethics		<input type="checkbox"/>	<input type="checkbox"/>		N/A	N/A

*Please note the table above records the total number of Non compliances (NC), Observations (Obs) and Good Examples (GE). This gives the reviewer an indication of problem areas but does not detail severities of each issue – Reviewers need to check audit results by clause.

Summary of Findings

Summary of main findings: (positive and negative)
 (Please give a short summary of the main findings per clause)

Audit Process

This initial audit was conducted by Intertek India Pvt. Ltd. 02 auditors in one day assessed the facility's operations. The scope of this audit was based on 2 Pillar SMETA guidelines.

Overview of opening meeting, facility management responses

Auditor entered the facility at 10.10 am on 21 March 2016 and conducted an opening meeting with facility management according to the ETI Base Code. Mr. Dinesh Kumar Vashist –Sr. Manager HR & CSR, Mr. Manoj Kumar – Manager HSC were present in the meeting and they assured full co-operation to this audit.

26 attendance & payroll records of February 2017 (Current Month), 26 attendance records and payroll records of November 2016 (random month) & 26 attendance records & payroll of April 2016 (random month) were reviewed in this audit.

Site Summary :-

- The Facility is into Manufacturing and Exporting of Home textile – Carpets, Bathmats, Rugs, Pillow, Puffs, etc.
- Overall responsibility for meeting the standards is taken by Mr. Dinesh Kumar Vashist –Sr. Manager HR
- There are a total of 445 employees were employed by the facility. Out of 445 there were 365 production employees and 80 non-production employees. Out of total employees 208 employees are company employee and 237 company employees including security..
- There are no foreign as well as migrant employees.
- The youngest worker on site was 21 year old.
- There is no union at this factory.
- Site has not declared any month as peak season . OT as per legal limit
- The facility is not using any Sub-Contractors for its any of the production process.
- 26 workers were selected for interview, 06 employees were interviewed individually and 20 were interviewed in 4 group of 5 employees.
- All workers said they were satisfied with their employment at the factory.
- They also said they were able to make suggestions to their supervisors and team leaders and sometimes they had seen these suggestions used.
- 26 Records to show wages and working hours were taken for last 12 months from the period March 2016 to February 2017.
- Standard hours on site were on average 208 hours/month with 1 day off in every 7–day–period.
- Wages are paid monthly.
- As per employee interview legal minimum wage was paid to all workers; legal minimum wage was INR 8280.20 per Month , w.e.f 1.1.2017

The employees work for 6 days a week with one general shift.

General shift: 9:00 am to 06:00 pm with 1 hours for lunchtime from (01.00 PM to 02.00 PM) and two tea break of 15 minutes (11:00 am to 11:15 am and 4:00 pm to 4:15 pm. Weekly Holiday : Sunday

Salary to all employees is fixed on daily basis and paid once in a month accordingly in cash on or before the 7th day of every month.

Summary of Findings (Positive and negative)

Positive Observations:

Management approach towards this audit was very positive and they assured necessary steps to improve labor standard in their facility.

Negative Observations:

Non-compliances were observed in the areas of “**Management systems and code implementation**”_ **Safety and Hygienic Conditions**”. In other areas no non compliances were observed. Details are given below:

1. Based on the facility tour and review of records it was noted that ETI base code was not displayed in Plot No 81. Further, facility has not communicated / conducts training formally to their employees.
2. Based from tour of the facility, it was noted that LPG cylinder was stored outside canteen under direct sunlight.
3. Based from tour of the facility, it was noted that 01 fire extinguisher was found temporarily blocked with production material (carpets) in carpet section at ground floor in plot no. 149 to 154.
4. Based from tour of the facility, it was noted that escape route were not marked at one side for employees working in sewing section at second floor in plot no. 149 to 154. Further, it was also found that there was no sufficient space found for escape in emergency.

Auditor Notes:

None Observed



Audit Details

• Audit Details			
A: Report #:	IDA-16215-01		
B: Time in and time out (SMETA Best Practice Guidance and Measurement Criteria recommends 9.00–17.00 hrs. if any different please state why in the SMETA declaration)	Day 1 Time in: 10.10 AM Day 1 Time out: 5.00 PM	Day 2 Time in: NA Day 2 Time out: NA	Day 3 Time in: NA Day 3 Time out: NA
C: Number of Auditor Days Used: (number of auditor x number of days)	02 auditors in a 01 day		
D: Audit type:	<input checked="" type="checkbox"/> Full Initial <input type="checkbox"/> Periodic <input type="checkbox"/> Full Follow-up <input type="checkbox"/> Partial Follow-Up <input type="checkbox"/> Partial Other - Define		
E: Was the audit announced? (AAG recommends a window of three weeks for semi-announced, this gives optimum results)	<input type="checkbox"/> Announced <input checked="" type="checkbox"/> Semi – announced: Window detail: 15 March 2017- 14 April, 2017 <input type="checkbox"/> Unannounced		
F: Was the Sedex SAQ available for review?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
If No , why not? (Examples would be, site has not completed SAQ, site has not been asked to complete the SAQ.)	NA		
G: 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 Not Applicable		
H: Auditor name(s) and role(s):	Parul Jaglan /Madhukar Prakash - Lead Auditor / Auditor		
I: Report written by:	Parul Jaglan		
J: Report reviewed by:	Meeta Pednekar		
K: Report issue date:	3 April 2017		
L: Supplier name:	Raj Overseas		
M: Site name:	Raj Overseas		
N: Site country:	India		

O: Site contact and job title:	Mr. Dinesh Kumar Vashist –Sr. Manager HR & CSR			
P: Site address: <i>(Please include full address)</i>	Plot No 149-154&81 Sector 25 Huda Panipat-haryana-132103			
Site phone:	0180-2693809-13			
Site fax:	0180-2693808			
Site e–mail:	compliance@rajgroup.in			
Q: Applicable business and other legally required licence numbers: for example, business license no, and liability insurance	Factory License Registration Number- PPT/R-144/11397, valid until 31 December 2019 for employing not more than 500 employees.			
R: Products/Activities at site, for example, garment manufacture, electricals, toys, grower	Manufacturing and Exporting of Home textile products– Carpets, Bathmats, Rugs, Pillow, Puffs			
S: Audit results reviewed with site management?	Yes			
T: Who signed and agreed CAPR <i>(Name and job title)</i>	Mr. Dinesh Kumar Vashist –Sr. Manager HR			
U: Did the person who signed the CAPR have authority to implement changes?	Yes			
V: Present at closing meeting (Please state name and position, including any workers/union reps/worker reps):	Mr. Dinesh Kumar Vashist –Sr. Manager HR Mr. Manoj Kumar – Manager HSC Parul Jaglan /Madhukar Prakash - Lead Auditor / Auditor			
W: What form of worker representation / union is there on site?	<input type="checkbox"/> Union (name) <input checked="" type="checkbox"/> Worker Committee <input checked="" type="checkbox"/> Other (specify) - Grievance Committee <input type="checkbox"/> None			
X: Are any workers covered by Collective Bargaining Agreement (CBA)	<input type="checkbox"/> Yes <input type="checkbox"/> No No CBA in the facility			
Y: Previous audit date:	NA			
Z: Previous audit type:		SMETA 2– pillar	SMETA 4– pillar	Other
	Full Initial	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Periodic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Full Follow–Up	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Audit			
	Partial Follow-Up	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Partial Other*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	*If other, please define: Not Applicable			

Audit Scope/Actual Results

Criteria	Local Law <i>(Please state legal requirement)</i>	Actual at the Site <i>(Record site results against the law)</i>	Is this part of a Collective Bargaining Agreement?
A: Standard/Contracted work hours: <i>(Maximum legal and actual required working hours excluding overtime, please state if possible per day, week and month)</i>	48hours/week	48 hours/week	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
B: Legal Overtime hours: <i>(Maximum legal and actual overtime hours, please state if possible per day, week and month)</i>	02 hours per day, 12 hours per week & 50 hours per quarter	No Overtime hours were observed.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
C: Legal age of employment: <i>(Minimum legal and actual minimum age at site)</i>	14 years completed	22 years	
D: Legal minimum wage for standard/contracted hours: <i>(Minimum legal and actual minimum wage at site, please state if possible per hr, day, week and month)</i>	The Minimum Wage in Haryana with effect from 01st January 2017 to till is as below: Unskilled –INR – 8280.20 / per month •Semi-Skilled – A INR - 8694.20 / per month; •Semi-Skilled – B INR - 9128.91 / per month; •Skilled – A - INR 9585.35 / per month •Skilled – B - INR 10064.62 / per month; •Highly Skilled – INR 10567.85 / per month	Unskilled –INR – 8071/ per month Semi-Skilled – INR-9200 / per month; Skilled–INR - 17000/ per month;	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
E: Legal minimum overtime wage: <i>(Minimum legal and actual minimum overtime wage at site, please state if possible per hr ,day, week and month)</i>	200% of normal rate.	facility has policy to compensate OT hours 200% of ordinary rate of wages	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<ul style="list-style-type: none"> Audit Scope (Please select the code and additional requirements that were audited against during this audit) 	
2–Pillar Audit	<input checked="" type="checkbox"/>
10B4: Environment 4–Pillar	<input type="checkbox"/>
10C: Business Ethics	<input type="checkbox"/>
All groups of workers are included in the scope of this audit such as; Direct employees and employees provided by service providers such as security.	<input checked="" type="checkbox"/>

Note: The main 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 Overview

• Audit Overview																					
	Management	Worker Representatives																			
Audit attendance	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 checked="" type="checkbox"/> Yes <input 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																		
D: If Worker Representatives were not present please explain reasons why <i>(only complete if no worker reps present)</i>	01 Member from carpet section																				
E: If Union Representatives were not present please explain reasons why: <i>(only complete if no union reps present)</i>	At present, no union exist in the facility.																				
F: Site description: <i>(Include size, location and age of site. Also include structure and number of buildings)</i>	<p>Facility is a Partnership Company located at Plot No 149-154&81 Sector 25 Huda Panipat-haryana-132103 India.</p> <p>Facility had established at current location since 2005 and facility is into the Manufacturers and Exporters of Home furnishing products- Carpets, Bath mats, rugs, Puffs, Pillow.</p> <p>The total land area occupied by the facility is 13757 Square Meters ac and Covered area is 16889 square meters.</p> <p>Facility has 01 building at plot No 149 -154 and 01 building at plot no. 81 at same location.</p> <table border="1" data-bbox="662 1310 1446 1785"> <thead> <tr> <th>Production Building no</th> <th>Description</th> <th>Remark, if any</th> </tr> </thead> <tbody> <tr> <td>Plot No 149-154 – Ground floor</td> <td>Office, Carpet Receiving, Finishing & packing & Canteen, chemical storage and sampling</td> <td>None</td> </tr> <tr> <td>First floor</td> <td>Scatter Rugs, Fishing & Packing & showroom</td> <td>None</td> </tr> <tr> <td>Second floor</td> <td>Kilim Finishing & Packing and Cutting, sewing & finishing & Packing of Pillow</td> <td>None</td> </tr> <tr> <td>Third Floor</td> <td>Puff filling, Carding , Packing materials stoerage</td> <td>None</td> </tr> <tr> <td>Is this a shared building?</td> <td>Facility was not shared by other owner.</td> <td>None</td> </tr> </tbody> </table>			Production Building no	Description	Remark, if any	Plot No 149-154 – Ground floor	Office, Carpet Receiving, Finishing & packing & Canteen, chemical storage and sampling	None	First floor	Scatter Rugs, Fishing & Packing & showroom	None	Second floor	Kilim Finishing & Packing and Cutting, sewing & finishing & Packing of Pillow	None	Third Floor	Puff filling, Carding , Packing materials stoerage	None	Is this a shared building?	Facility was not shared by other owner.	None
Production Building no	Description	Remark, if any																			
Plot No 149-154 – Ground floor	Office, Carpet Receiving, Finishing & packing & Canteen, chemical storage and sampling	None																			
First floor	Scatter Rugs, Fishing & Packing & showroom	None																			
Second floor	Kilim Finishing & Packing and Cutting, sewing & finishing & Packing of Pillow	None																			
Third Floor	Puff filling, Carding , Packing materials stoerage	None																			
Is this a shared building?	Facility was not shared by other owner.	None																			

	Production Building no	Description	Remark, if any
	Plot No 81 – Ground floor	Office, Carpet Tufting	None
	Mezzanine	Braided stitching ,Warping	
	First floor	Pit loom section	None
	Second floor	Braided stitching & lunch room	None
	Is this a shared building?	Facility was not shared by other owner.	None
	G: 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	
H: Month(s) of peak season: (if applicable)	Consistent Throughout Year		
I: Process overview: (Include products being produced, main operations, number of production lines, main equipment used)			
<p>The facility is engaged in Manufacturing and exporting of Home Furnishing products- Carpets, Rugs, Bathmats, Puffs, Pillow etc.</p> <p>The main production processes flow chart are listed below:</p> <ol style="list-style-type: none"> 1) Receiving of ready Bathmats - Finishing –Packing – Dispatch 2) Receiving of fabric- cutting – sewing – finishing – packing 3) Receiving yarn – tufting or pitloom – finishing – packing <p>Main machinery used: warping machine ,Pitloom, Hand tufting , Sewing machine metal detection machine, diesel generator set, etc.</p>			
J: Attitude of workers: (Include their attitude to management, workplace and the interview process. Both positive and negative information should be included) Note: Do not document any information that could put workers at risk			
Total 26 employees were selected for interview. All employees were found favourable with the management and facility environment. No negative information was noted. Overall they displayed a positive attitude towards the management and the workplace.			
K: Attitude of workers committee/union reps: (Include their attitude to management, workplace and the interview process. Both positive and negative information should be included) Note: Do not document any information that could put workers at risk			

Members of works committee looked very positive towards the management. However, it was noted that employees employed through labour contractors were not included in works committee.

L: Attitude of managers:

(Include attitude to audit, and audit process. Both positive and negative information should be included)

The facility management showed a positive attitude to this audit during the whole process. All documentation requested for review was provided timely. At the end of the audit, all the non-compliances were accepted by the facility. No negative information reported.

Key Information

<ul style="list-style-type: none"> Key Information <i>(click on the key information title to go to appropriate section of the report)</i> 		
A: Do all workers (including migrant workers) have contracts of employment/employment agreements? (Go to clause 8 – Regular Employment)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
B: Are maximum standard/contracted working hours clearly defined in contract/employment agreements? (Go to clause 8 – Regular Employment)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
C: Were appropriate records available to verify hours of work and wages? (Go to clause 5 – Living Wage)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
D: Were any inconsistencies found? (if yes describe nature) (Go to Wages Table)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Poor record keeping <input type="checkbox"/> Isolated incident <input type="checkbox"/> Repeated occurrence	
E: For the lowest paid production workers, are wages paid for standard/contracted hours (excluding overtime) below or above the legal minimum? (Go to clause 5 – Living Wage)	Wages found: <input type="checkbox"/> Below legal min <input checked="" type="checkbox"/> Meet <input checked="" type="checkbox"/> Above	Please indicate the breakdown of workforce according to earnings: Nil ___% of workforce earning under min wage _30_ of workforce earning min wage _70_ % of workforce earning above min wage
	F: % of piece rate workers: (if applicable) No piece rate employees employed by the facility.	
G: Do the standard/contracted hours stated in a contract/employment agreement exceed the law or 48 hours per week? (Go to clause 6 – Working hours)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
H: If yes, what are the standard/contracted hours per week as stated in the contract/employment agreement? (Go to clause 6 – Working hours)	___ hrs/week Not applicable.	Approx. ___% of ALL workers on these contacted hours Not applicable.
I: Combined hours (standard/contracted plus overtime = total hours) over 60 per week found? (Go to Working Hours Analysis)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
J: Are workers provided with 1 day off in every 7-day-period, or 2 in 14-day-period (where the law allows)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If 'No', please explain:	

<p>K: Are the correct legal overtime premiums paid? (Go to Wages Table)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A – there is no legal requirement to OT premium</p>
<p>L: Please state what actual OT is paid. <i>(As a percentage of the workers standard rate)</i> (Go to Working Hours Analysis)</p>	<p><i>Please give details of overtime premium as a % of standard wages:</i> <input type="checkbox"/> 0% <input type="checkbox"/> 1% – 115% <input type="checkbox"/> 116% – 124% <input type="checkbox"/> 125% – 199% <input checked="" type="checkbox"/> 200%+ Please give details: As per the workers interview it was noted that workers were paid the Overtime wages at the rate of 200%.</p>
<p>M: Is there any night production work at the site?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p>N: % of workers living in site provided accommodation (if applicable):</p>	<p>No</p>
<p>O: Age of youngest worker found: (Go to clause 4 – Child labour)</p>	<p>22 years</p>
<p>P: Workers under 18 subject to hazardous work assignments? (Go to clause 3 – Health and Safety)</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p>% of under 18's at this site (of total workers)</p>	<p>Nil %</p>
<p>Q: What form of worker representation/union is there on site? (Go to clause 2 – Freedom of Association)</p>	<p><input type="checkbox"/> Union (name) <input checked="" type="checkbox"/> Worker Committee <input checked="" type="checkbox"/> Other (specify) - Grievance committee <input type="checkbox"/> None</p>
<p>R: Is it a legal requirement to have a union? (Go to clause 2 – Freedom of Association)</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p>S: Is It a legal requirement to have a workers committee? (Go to clause 2 – Freedom of Association)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>T: Is there any other form of effective worker/management communication channel? <i>(Other than union/worker committee)</i> (Go to clause 2 – Freedom of Association)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Describe: Facility has provided suggestion box at notice board, where employees are free to express their problems / suggestions / complaints for any grievances. While interviewing, all employees reported that they are free to approach the management for any problem.</p>
<p>U: Are there any External Processes? (Go to clause 8A – Sub-contracting and Home working)</p>	<p><input type="checkbox"/> Sub-Contracting <input type="checkbox"/> Homeworking <input type="checkbox"/> Other External Process <input checked="" type="checkbox"/> No external processes</p>

Management Systems

<ul style="list-style-type: none"> Management Systems: 	
A: Nationality of Management	Indian
B: Gender breakdown of Management + Supervisors <i>(Include as one combined group)</i>	Male: 99 % Female: 1 %
C: Majority nationality of workers	Indian
D: Number of workers leaving in last 12 months as a % of average total number of workers on site over the year (annual worker turnover)	_03_ %
E: Were accurate records shown at the first request?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
F: If No , why not?	Not Applicable
G: 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 describe: The site has not been subjected to any fines /prosecutions for non-compliance to any regulations for the last 12 Months.
H: 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 describe: Facility has developed policies and procedures on force labour, child labour, discrimination, harassment & abuse. These policies are displayed at notice board in local language (Hindi) and communicated to all employees.
I: If Yes , is there evidence (an indication) of effective implementation? Please give details.	Facility has developed policies and procedures on force labour, Prevention of child labour, Anti- discrimination, harassment & abuse. These policies are implemented effectively in the entire facility. These policies are displayed at notice board in local language (Hindi) and communicated to all employees. All employees were aware about these policies and procedures.
J: 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 describe: Training records shows that all managers and workers have received training on force labour, child labour, discrimination, harassment & abuse.
K: If Yes , is there evidence (an indication) that training has been effective e.g. training records etc.? Please give details	Training records including interaction with management / employees shows and confirms that training given to all managers and workers was effective.
L: Are there published, anonymous and/or	<input checked="" type="checkbox"/> Yes

<p>open channels available for reporting any violations of Labour standards and H&S or any other grievances to a 3rd party?</p>	<p><input type="checkbox"/> No Please describe: Facility has provided suggestion boxes for any compliant/suggestion.</p>
<p>M: If Yes, are workers aware of these channels? Please give details.</p>	<p>Yes. Workers are aware of suggestion boxes for any compliant/suggestion.</p>
<p>N: Have health and safety risks been identified e.g. through internal audits, formal risk analysis process, worker involvement etc.?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Facility has conducted the Risk assessment to identify the health and safety risk on dated 02/01/2017. Also the facility has system to conducted health and safety committee meeting for identification and control of health and safety risk. Health and Safety Committee meetings are conducted once in every three months. Last meeting was conducted on 25/01/2017</p>
<p>O: If Yes, has effective action been taken to reduce or eliminate these risks?</p>	<p>Yes – Risk Assessment conducted as per process and preventive action taken and implemented by training to all employees.</p>
<p>P: Are accidents recorded?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: All accidents are recorded in accident register. However records show no accident till date.</p>
<p>Q: Has the auditor made a simple calculation to compare capacity with workers' work load in order to identify possible unrecorded work hours?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please describe: Unrecorded work hour were not found during audit.</p>
<p>R: Does the site have all required land rights licenses and permissions (see SMETA Measurement Criteria)?</p>	<p>Business License (Factory License): PPT/R-144/1139 Validity: Till December 31, 2019 for employing maximum 500 employees.</p>
<p>S; Does the site have any internationally recognised system certifications e.g. ISO 9000, 14000, OHSAS 18000, SA8000 (or other social audits). Please detail (Number and date).</p>	<p>ISO9000,14001,ISO 18000(OSHAS) and SA-8000 certificates available.</p>
<p>T: Is there a Human Resources manager/department? If Yes, please detail.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Facility has Human Resource and Compliance Department. Mr. Dinesh Kumar Vashist –Sr. Manager HR - is responsible for HR related activities.</p>



Worker Analysis

• Worker Analysis								
	Local			Migrant			•	Total
	Permanent	Temporary	Agency	Permanent	Temporary	Agency	Home workers	
Worker numbers – Male	129	00	208	00	00	00	00	437
Worker numbers – female	08	00	00	00	00	00	00	08
Total	137	00	208	00	00	00	00	445
Number of Workers interviewed	10	00	16	00	00	00	00	26

Contractors:

(Individuals supplying workers to site with the workers paid by contractors, not by site)

A: Any contractors on site?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
B: If Yes , how many workers supplied by contractors	Facility had hired 208 employees through 01 contractor. 1. Thakur Enterprises
C: Are all contractor workers paid according to law?	Yes
If Yes , Please give evidence for contractor workers being paid according to law:	Wage , working hour records and social benefits records

Migrant Workers:

(Please see SMETA Best Practice Guidance and Measurement Criteria for definitions of migrant workers)

D: Originating Locations/Countries:	Not Applicable as there are no such employees employed.
E: Type of work undertaken by migrant workers :	Not Applicable as there are no such employees employed.
F: Were migrant workers recruited through an agency?	<input type="checkbox"/> Yes <input type="checkbox"/> No

If yes, please give details.	Please describe: Not Applicable as there are no such employees employed
If Yes , is there a contract with the agency? Provide details of agencies and contractual arrangements including any fees lodged during the recruitment process.	Not Applicable as there are no such employees employed.
G: Does the site have a system for checking labour standards of agencies? If yes, please give details.	<input type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Not Applicable as there are no such employees employed.
H: Percentage of migrant workers in company provided accommodation:	Not Applicable as there are no such employees employed.

Audit Results by Clause

0: Managements system and Code Implementation

[\(click here to return to NC Table\)](#)

- 0.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.
- 0.2 Suppliers shall appoint a senior member of management who shall be responsible for compliance with the Code.
- 0.3 Suppliers are expected to communicate this Code to all employees.
- 0.4 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. Dinesh Vashist – Sr., Manager HR & CSR is responsible to ensure compliance with local law and ETI base code requirements.
- Facility has not displayed copy of ETI Base Code of Conduct in local language in notice board area at plot no.81.
- Facility has obtained factory license. Factory License is valid till December 31, 2019.
- Facility has not communicated and provided training on ETI Base Code requirement to their all employees. However, facility has communicated the same via mail to its suppliers.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Statutory legal documents including Factory license, building plan, building stability certificate, social insurance registration and other documents as applicable were reviewed.

Non-compliance:

1. Description of non-compliance:

NC against ETI NC against Local Law:

Based on the facility tour and review of records it was noted that ETI base code was not displayed in Plot No 81. Further, facility has not communicated / conducts training formally to their employees.

ETI requirement

0.3 Suppliers are expected to communicate this Code to all employees.

Recommended corrective action:

It is recommended to the facility to display the ETI Base code in understandable language (Hindi) and provide training to employees for understanding.

Action By: Mr. Dinesh Vashist – Sr., Manager HR & CSR

Objective evidence observed:

Tour of the facility and review of records

Timescale: 30 days Verification Method: Desktop	
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Observation:	
Description of observation: None Observed Local law or ETI requirement: Not Applicable Comments: Not Applicable	Objective evidence observed: Not Applicable

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable

1: Employment is Freely Chosen

[\(Click here to return to NC-table\)](#)

ETI

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. Dinesh Vashist – Sr., Manager HR & CSRs responsible to oversee that no child is employed.
- There was no presence of forced / bonded or prison labor at the work place.
- Employees are not required to lodge any deposits, identity papers with the facility before or after joining the services.
- Employees are free to leave at the end of their shift and there is no compulsion to work overtime.
- Employees are free to leave their employer after one month of notice.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Hiring policy of the facility, personnel files, application form and bio data.

Non-compliance:

1. Description of non-compliance:

NC against ETI NC against Local Law:

None Observed

**Local law:
Not Applicable**

**ETI requirement:
Not Applicable**

**Recommended corrective action:
Not Applicable**

**Objective evidence observed:
Not Applicable**

Observation:	
Description of observation: None Observed	Objective evidence observed: Not Applicable
Local law or ETI requirement Not Applicable	
Comments: Not Applicable	

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective Evidence Observed: Not Applicable

2: Freedom of Association and Right to Collective Bargaining are Respected

[\(Click here to return to NC-table\)](#)
[\(Click here to return to Key Information\)](#)

ETI

- 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. Dinesh Vashist – Sr., Manager HR & CSR is assigned with the responsibility to ensure to ensure compliance with these code requirements.
- At present, there was no union / trade union in the facility.
- Facility has formed works committee to address workers issues and minutes of meeting records were available.
- Suggestion box was displayed and all employees were free to express their suggestions and complaints if any.
- Employees have the right to join any union or form trade unions of their own choice and to bargain collectively.
- There is no evidence of suppression of worker's rights.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

- Policy of freedom of association and collective bargaining.
- Facility has works committee to discuss and resolve the workers issues and last meeting was conducted on 31/01/2017.
- Facility has formed Grievance committee to address and resolve the workers Grievances. Last Grievance committee meeting was conducted on 25/01/2017.

Non-compliance:

1. Description of non-compliance:

- NC against ETI NC against Local Law

None observed

Local law:

Not applicable

Objective evidence observed:

Not applicable.

Recommended corrective action: Not applicable	
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• Observation:	
Description of observation: None Observed Local law or ETI requirement Not Applicable Comments: Not Applicable	Objective evidence observed: Not Applicable

A: Name of union and union representative, if applicable:	No union exists.	Is there evidence of free elections? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A
B: If no union what is parallel means of consultation with workers e.g. worker committees?	Works committee	Is there evidence of free elections? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
C: Were worker representatives/union representatives interviewed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If Yes , please state how many: 02	
D: State any evidence that union/workers committee is effective? Specify date of last meeting; topics covered; how minutes were communicated etc.	Employees were aware about the workers committee and its purpose. Elected members take participation to address their issues. During interview, all of them reported that they are free to approach management for any concern. The last works committee meeting was on 31/01/2017.	
E: Are any workers covered by Collective Bargaining Agreement (CBA)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
F: If Yes what percentage by trade Union/worker representation	<u>Nil</u> % workers covered by Union CBA	<u>Nil</u> % workers covered by worker rep CBA
G: If Yes , does the Collective Bargaining Agreement (CBA) include rates of pay	<input type="checkbox"/> Yes <input type="checkbox"/> No Not applicable	

• Good Examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable.

3: Working Conditions are Safe and Hygienic

[\(Click here to return to NC-table\)](#)
[\(Click here to return to Key Information\)](#)

ETI

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:

- Mr. Dinesh Vashist – Sr., Manager HR & CSR is assigned with the responsibility to ensure a healthy and safe work environment for employees
- Facility has conducted mock evacuation drill on 11/02/2017 covering all employees of the the facility.
- Facility has 80 firefighting trained personals. Last fire-fighting training was provided on 17/12/2016 by external agency “Radhika Fire Services, Panipat”.
- Facility has provided 16 toilet facilities and 16 urinal facilities for male and 01 toilet facilities for female employees.
- Facility has provided 16 first aid boxes covering every section of the facility.
- First aid training is provided to 20 employees on 15/03/2017 and 20 employees on 13/5/2015 from St. John’s Ambulance valid for three years.
- Facility has provided clean and safe drinking water to the employees with no restriction. Current drinking water testing was conducted on 11/11/2016 from authorized testing lab.
- Facility has installed fire safety equipment. There were total 169 fire extinguishers, 22 hydrant points, 80 emergency lights, 40 fire alarm points, 354 smoke detector and 15 buckets covering all the sections/area in the facility.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

- Fire license /certificate obtained on 25/11/2016 for plot no. 149-154 and 26/11/2016 for plot no.81 valid for one year.
- Fire extinguisher maintenance record.
- Fire drill training records.
- Fire fighting training records
- Accident records

<p>Recommended corrective action: It is recommended that facility shall ensure that all fire fighting equipment fire extinguisher are free from obstruction during working hours.</p> <p>Action By: Mr. Dinesh Vashist – Sr., Manager HR & CSR Timescale: 30 days Verification Method: Desktop</p>	<p>Objective evidence observed: During facility tour.</p>
<p>3. Description of non-compliance: <input checked="" type="checkbox"/> NC against ETI <input checked="" type="checkbox"/> NC against Local Law</p> <p>Based from tour of the facility, it was noted that escape route were not marked at one side for employees working in sewing section at second floor in plot no. 149 to 154. Further, it was also found that there was no sufficient space found for escape in emergency .</p> <p>Local Law 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.</p> <p>ETI requirement: 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> <p>Recommended corrective action: It is recommended that facility to mark the aisle route and ensure the obstruction free aisle at all time.</p> <p>Action By: Mr. Dinesh Vashist – Sr., Manager HR & CSR Timescale: 30 days Verification Method: Desktop</p>	

Observation:	
<p>Description of observation: None Observed</p> <p>Local law or ETI requirement Not Applicable</p> <p>Comments: Not Applicable</p>	<p>Objective evidence observed: Not Applicable</p>

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable.

<p>4: Child Labour Shall Not Be Used (Click here to return to NC-table) (Click here to return to Key Information)</p>
<p>ETI</p> <p>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.</p>

<ul style="list-style-type: none"> Current Systems and Evidence Examined <p><i>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.</i></p>
<p>Current systems:</p> <ul style="list-style-type: none"> Mr. Dinesh Vashist – Sr., Manager HR & CSR responsible to ensure that no child is employed in the facility. Age proof records are maintained in personal file of the employees. No employee employed without age verification. There was no evidence of child labor or young labor throughout the facility. The age of the youngest worker as per personnel file reviewed is 22 years. <p>Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):</p> <ul style="list-style-type: none"> Recruitment policies Employment contracts Age proof documents were maintained in the form of copies of Voter Cards, Adhar Cards, School leaving certificates and Dental Certificates.

Non-compliance:	
<p>1. Description of non-compliance:</p> <p><input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law:</p> <p>None Observed</p> <p>Local law: Not Applicable</p>	<p>Objective evidence observed: Not Applicable</p>

ETI requirement: Not Applicable	
Recommended corrective action: Not Applicable	

Observation:	
Description of observation: None Observed	Objective evidence observed: Not Applicable
Local law or ETI requirement Not Applicable	
Comments: Not Applicable	

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable.

5: Living Wages are Paid
[\(Click here to return to NC-table\)](#)
[\(Click here to return to Key information\)](#)

ETI

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. Dinesh Vashist – Sr., Manager HR & CSR is responsible to ensure all employees are paid as per applicable legal minimum wages with all legal benefits on time.
- Employees are paid as per applicable legal minimum wages.
- Facility has not engaged any employee on piece rate. All employees are employed on monthly salary basis.
- All employees are paid on monthly basis on or before 7th of every month. All employees are provided pay slips.
- Social security benefit (provident fund and employee state insurance) were provided to all eligible employees.
- Holiday and leave benefits are also provided as per legal requirements.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

- Latest legal minimum wages notification issued by state government
- 26 payroll records of February 2017 (Current month) and 26 payroll records of November 2016 (Random month), & 26 payroll records of April 2016 in (random month) were reviewed in this audit.
- Social insurance receipt records.
- Annual bonus and annual leave records

Non-compliance:	
1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law None Observed Local law: Not applicable Recommended corrective action: Not applicable	Objective evidence observed: Not applicable

Observation:	
Description of observation: None Observed Local law or ETI requirement: Not Applicable Comments: Not Applicable	Objective evidence observed: Not Applicable

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable

<ul style="list-style-type: none"> Wages analysis: (Click here to return to Key Information) 		
<p>A: Sample Size Checked <i>(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)</i></p>	<p>26 samples from February 2017 (Current months) 26 samples from November 2016 (Random month) 26 samples from April 2016 (Random month)</p>	
<p>B: Are there different legal minimum wage grades? If Yes, please specify all.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>If yes, please give details: The Minimum Wage in Haryana with effect from 01st January 2017 to till is as below:</p> <p>Unskilled –INR – 8280.20 / per month •Semi-Skilled – A INR -8694.20 / per month; •Semi-Skilled – B INR - 9128.91 / per month; •Skilled – A - INR 9585.35 / per month •Skilled – B - INR 10064.62 / per month; •Highly Skilled – INR 10567.85 / per month</p>
<p>C: If there are different legal minimum grades, are all workers graded correctly?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>If No, please give details: Not Applicable</p>
<p>D: What deductions are required by law e.g. social insurance? Please state all types:</p>	<p>Provident Fund (PF) and Employee State Insurance (ESI).</p>	
<p>E: Have all of these deductions been made? Please list all deductions that have/have not been made.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>If Yes, Please list all deductions that have been made: Provident Fund (PF) and Employee State Insurance (ESI)</p>
		<p>If No, please give details on any deductions which have not been made: Not Applicable</p>
<p>F: Industry norm for this region: <i>(please include time period e.g. hour/week/month)</i></p>	<p>In accordance with Minimum Wages Act 1948, Section 12</p>	

<ul style="list-style-type: none"> Wages table <p style="text-align: center;">(Click here to return to Key information)</p>			
Worker Type	Process Operator (Lowest paid)	Process Operator (Average paid)	Process Operator (Highest paid)
<p>Select from individual worker records one worker from, lowest, average and highest wages and populate the boxes. Ensure comparison is made for same pay period and only uses full-time workers. See SMETA Best Practice Guidance and Measurement Criteria for completing this:</p>			
A: Pay period: (State month selected)	February 2017	February 2017	February 2017
B: Anonymous Employee Reference/Dept.	Helper	Preparatory/ Warper	Operator
C: Employee Gender	Male	Male	Male
D: Contracted/Standard working hours: (excluding OT – please include time period e.g. hour/week/month)	224 hours / month	224 hours / month	224 hours / month
E: Contracted /Standard work pay rate: (excluding OT – please include time period e.g. hour/week/month)	INR 8300 month	INR 9200 / month	INR 10100/ month
F: Standard day overtime – hours: (please include time period e.g. hour/week/month)	Nil	Nil	Nil
G: Standard day overtime – wage: (please include time period e.g. hour/week/month)	Nil	Nil	Nil
H: Rest day overtime – hours: (please include time period e.g. hour/week/month)	Nil	Nil	Nil
I: Rest day overtime – wage: (please include time period e.g. hour/week/month)	Nil	Nil	Nil
J: Statutory Holiday overtime – hours: (please include time period e.g. hour/week/month)	Nil	Nil	Nil

K: Statutory holiday OT – wages: <i>(please include time period e.g. hour/week/month)</i>	Nil	Nil	Nil
L: Total overtime hours: <i>(please include time period e.g. hour/week/month)</i>	Nil	Nil	Nil
M: Incentives/Bonus/ Allowances etc.: <i>(please include time period e.g. hour/week/month)</i>	INR 208 Arrear	INR 200 Arrear	INR 200 Arrear
N: Gross wages: <i>(please include time period e.g. hour/week/month)</i>	INR 8508 / month	INR 9400 / month	INR 10300/ month
O: Social insurance and other deductions; please list which and amount.	INR 1179 per month (PF-1020 , ESI-149, LWF-10)	INR 3303 per month (PF-1128 , ESI- 165, LWF-10 , Loan- 2000)	INR 1426 per month (PF- 1236, ESI- 180 , LWF-10)
P: Actual wage paid after deduction: <i>(please include time period e.g. hour/week/month)</i>	INR 7329 / month	INR 6097 / Month	INR 8874 / month
Comments: <i>(Please state here any specific reasons/circumstances that explain the lowest and highest gross wages)</i>			
The above data is based on the records provided during the audit. Further, the wages depend on skill sets.			
Q: Is there a defined living wage: <i>This is <u>not normally</u> minimum legal wage. If answered Yes please state amount and source of info: Please see SMETA Best Practice Guidance and Measurement Criteria.</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please specify amount/time period: Facility has not defined any living wages. At present facility is following the applicable minimum wages as notified by the State Government and paying accordingly.		
R: Are workers paid in a timely manner in line with local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
S: Is there evidence that equal rates are being paid for equal work:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: It was noted during interview with employees that all employees with same skill are paid the same wages and no discrimination noted.		
T: How are workers paid:	<input type="checkbox"/> Cash <input type="checkbox"/> Cheque <input checked="" type="checkbox"/> Bank Transfer – 100 % of the employees <input type="checkbox"/> Other If other explain: Not applicable.		

6: Working Hours are not Excessive

[\(Click here to return to NC-table\)](#)
[\(Click here to return to Key Information\)](#)

- ETI

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:

- this is allowed by national law;
- this is allowed by a collective agreement freely negotiated with a workers' organisation representing a significant portion of the workforce;
- appropriate safeguards are taken to protect the workers' health and safety; and
- The employer can demonstrate that exceptional circumstances apply such as unexpected production peaks, accidents or emergencies.

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:

- Mr. Dinesh Vashist – Sr., Manager HR & CSRs is responsible for ensuring compliance with regular and overtime hours.
- Regular working hours are within legal requirements. Overtime hours do not exceed the legal limit
- Weekly off day is provided to all employees once in every 7 days to all employees as per law.

Working hours analysis

- February 2017 (Current Month): The average regular working hours of 26 selected samples was found 42.99 hours per week. Maximum 48 hours performed in a week (22 out of 26 employees). No overtime performed by any of the employee.
- November 2016 (Random month): The average regular working hours of 26 selected samples was found 38.61 hours/week. Maximum 48 hours performed in a week (20 out of 26 employees). No overtime

performed by any of the employee.

- April 2016 (Random Month): The average working hours of 26 selected samples was found 43.47 hours/week. Maximum 48 hours performed in a week (20 out of 26 employees). No overtime performed by any of the employee.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Working hours and overtime policy. IN / OUT Time records of 12 months from February 2016 to February 2017.

Non-compliance:

1. Description of non-compliance:

NC against ETI NC against Local Law

None observed

Local law:

Not applicable

Recommended corrective action:

Not applicable

Objective evidence observed:

Not applicable

Observation:

Description of observation:

None Observed

Local law or ETI requirement

Not Applicable

Comments:

Not Applicable

Objective evidence observed:

Not Applicable

Good Examples observed:

Description of Good Example (GE):

None Observed

Objective Evidence Observed:

Not Applicable

Working hours analysis	
<i>Please include time period e.g. hour/week/month</i> (Go back to Key information)	
Systems & Processes	
A. What timekeeping systems are used: time card etc.	<i>Describe:</i> IN / OUT timings for all employees are maintained through Manual recording system.
B: Sample Size Checked <i>(State number of worker records checked and from which weeks/months and type – should be current, peak and random/low: See SMETA Best Practice Guidance and Measurement Criteria)</i>	26 attendance records of February 2017 (Current month) 26 attendance records of November 2016 (Random month) 26 attendance records of April 2016 (Random month)
C: Do ALL workers have contracts/employment agreements?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If NO, state which type of workers do NOT have contracts/employment agreements:</i>
D: Are standard/contracted working hours defined in all contracts/employment agreements?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <i>If NO, please state which type of workers do NOT have standard hours defined in contracts/employment agreements.</i>
E: Are there any other types of contracts/employment agreements used?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If YES, Please complete as appropriate:</i> <input type="checkbox"/> 0 hrs <input type="checkbox"/> Part time <input type="checkbox"/> Variable hrs <input type="checkbox"/> Other <i>If "Other", Please define:</i>
Standard/Contracted Hours worked	
F: Do standard/contracted standard hours ever exceed the law or 48 hours per week?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If YES give details and comparison (local law/48 hrs week)</i>
G: What are the actual standard/contracted hours worked in sample (State per week/month)	Highest hours: February 2017 (Current month)– 48 hours / week November 2016 (Random month) – 48 hours / week. April 2016 (Random month)- 48 hours / week.

	Lowest hours:	February 2017 (Current month)– 24 hours / week November 2016 (Random month) – 32 hours / week. April 2016 (Random month) – 24 hours / week.
H: Any local waivers/local law or permissions which allow averaging/annualised hours for this site?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<i>If YES, Please give details</i>
Overtime Hours		
I: Actual overtime hours worked in sample (State per day/week/month)	Highest OT hours:	February 2017 (Current month) – No Overtime performed. November 2016 (Random month) – No Overtime performed. April 2016 (Random month) - No Overtime performed.
	Lowest OT hours:	February 2017 (Current month) – No Overtime performed. November 2016 (Random month) – No Overtime performed. April 2016 (Random month) - No Overtime performed.
S J: Range of overtime hours over all workers/or as large a sample as possible. (State per week/month and details)	February 2017 (Current month) – No Overtime performed. November 2016 (Random month) – No Overtime performed. April 2016 (Random month) - No Overtime performed.	
K: Approximate percentage of workers on highest overtime hours	_0_ % No overtime performed for any of the month.	
L: Is overtime voluntary?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Conflicting Information	<i>Please detail evidence e.g. Wording of contract/employment agreement/handbook/worker interviews/refusal arrangements:</i>
		<i>Workers interview and wage / working hour records.</i>
Overtime Premiums		
M: Is overtime paid at a premium?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>Please give details of normal day overtime premium as a % of standard wages:</i>
		<input type="checkbox"/> 0% <input type="checkbox"/> 1 – 115% <input type="checkbox"/> 116 – 124% <input type="checkbox"/> 125 – 149% <input type="checkbox"/> 150 – 199% <input checked="" type="checkbox"/> 200%+
		Any other comments: - Facility had a policy to compensate all OT hours at 200% of regular rate of wages

Rest Days		
<p>N: ETI Code requires a prevailing standard to give greatest worker protection. If a site pays less than 125% OT premium and this is allowed under local law, are there other considerations? Please complete the boxes where relevant. Multi select is possible.</p>	<input checked="" type="checkbox"/> No <input type="checkbox"/> Consolidated pay (May be standard wages above minimum legal wage, with no/low overtime premium) <input type="checkbox"/> Collective Bargaining agreements <input type="checkbox"/> Other	
		Please explain any checked boxes in N above e.g. detail of consolidated pay CBA or Other.
		Not Applicable
<p>O: Are workers provided with 1 day off in every 7-day-period, or 2 in 14-day-period (where the law allows)?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>Maximum number of days worked without a day off (in sample):</p>
		6 days
Total Hours		
<p>P: Range of total hours: (Quote highest and lowest please include time period e.g. hour/week/month)</p>	Highest total hours	February 2017 (Current month)– 48 hours / week November 2016 (Random month) – 48 hours / week. April 2016 (Random month)- 48 hours / week.
		Lowest total hours
		February 2017 (Current month)– 24 hours / week November 2016 (Random month) – 32 hours / week. April 2016 (Random month) – 24 hours / week.
<p>R: If more than 60 total hours per week and this is legally allowed, are there other considerations? Please complete the boxes where relevant. Multi select is possible.</p>	<input checked="" type="checkbox"/> Overtime is voluntary <input type="checkbox"/> Onsite Collective bargaining allows 60+ hours/week <input type="checkbox"/> Safeguards are in place to protect worker's health and safety <input type="checkbox"/> Site can demonstrate exceptional circumstances <input type="checkbox"/> Other reasons	
		Please explain any checked boxes in R above
		If Employees perform overtime then as per their own wish.
Comments: (please state here any specific reasons/circumstances that explain the highest working hours)		
The working hours depends on the workload and the workers willingness to work overtime.		

7: No Discrimination is Practiced
[\(Click here to return to NC-table\)](#)

ETI

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. Dinesh Vashist – Sr., Manager HR & CSRs is responsible to check discrimination issue in the facility.
- No discrimination reported / observed in hiring, compensation, promotion and termination based on race, caste, national origin, religion, age, disability, gender, marital status and sexual orientation.
- All employees have fairly equal opportunity for training and overtime work in their respective departments.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

- Anti-discrimination policy

Non-compliance:

1. Description of non-compliance:

NC against ETI NC against Local Law

None Observed

**Local law or ETI requirement
 Not Applicable**

**Recommended corrective action:
 Not Applicable**

**Objective evidence
 observed:
 Not Applicable**

Observation:	
Description of observation: None Observed	Objective evidence observed: Not Applicable
Local law or ETI requirement Not Applicable	
Comments: Not Applicable	

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective Evidence Observed: Not Applicable

8: Regular Employment Is Provided

[\(Click here to return to NC-table\)](#)
[\(Click here to return to Key Information\)](#)

ETI

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.

- **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. Dinesh Vashist – Sr, Manager HR & CSR responsible to ensure compliance with ETI code requirement.
- Facility follows and believes in fixed term employment.
- Employment contracts/ appointment letters of all sampled employees were available.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

- Personnel records
- Employment contracts/ appointment letters

Non-compliance:

1. Description of non-compliance:

NC against ETI NC against Local Law

None Observed

Local law:

Not applicable

Recommended corrective action:

Not applicable

Objective evidence observed:

Not applicable
 .

Observation:	
Description of observation: None Observed Local law or ETI requirement Not Applicable Comments: Not Applicable	Objective evidence observed: Not Applicable

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable

8A: Sub-Contracting and Homeworking
[\(Click here to return to NC-table\)](#)
[\(Click here to return to Key Information\)](#)

8A.1. There should be no sub-contracting unless previously agreed with the main client.
 8A.2. Systems and processes should be in place to manage sub-contracting, homeworking and external processing.
Note to auditor on homeworking:
 Report on whether it is direct or via agents. How many workers, relationship with site and what control systems are in place.

- **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:

- Facility does not sub-contract any production activity.
- Facility does not use any home-workers.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):
 Inward / Outward material records along with material receipt records.

If any processes are sub-contracted – please populate below boxes

Process Subcontracted	Process 1	Process 2
Name of factory		
Address		

-

Non-compliance:

<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law</p> <p>None Observed</p> <p>Local law and/or ETI /Additional Elements requirement: Not Applicable</p> <p>Recommended corrective action: Not Applicable</p>	<p>Objective evidence observed: Not Applicable</p>
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------

Observation:	
Description of observation: None Observed Local law or ETI/Additional elements requirement: Not Applicable Comments: Not Applicable	Objective evidence observed: Not Applicable

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable

• Summary of sub-contracting – if applicable	
A: If sub-contractors are used, is there evidence this has been agreed with the main client?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes , summarise details: Not applicable.
B: Number of sub-contractors/agents used	Not applicable
C: Is there a site policy on sub-contracting?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, summarise details: Not applicable
D: What checks are in place to ensure no child labour is being used and work is safe?	Not applicable
E: What processes are sub-contracted?	Not applicable

• Summary of homeworking – if applicable			
F: If homeworking is being used, is there evidence this has been agreed with the main client?	Not applicable as no home workers are used by the facility.		
G: Number of homeworkers	Male: None	Female: None	Total: None
H: Are homeworkers employed direct or through agents?	Not applicable as no home workers are used by the facility.		

I: If through agents, number of agents	Not applicable as no home workers are used by the facility.
J: Is there a site policy on homeworking?	Not applicable as no home workers are used by the facility.
K: How does site ensure worker hours and pay meet local laws for homeworkers?	Not applicable as no home workers are used by the facility.
L: What processes are carried out by homeworkers?	Not applicable as no home workers are used by the facility.
M: Are written agreements in place for homeworkers that include regular employment?	Not applicable as no home workers are used by the facility.
N: Are full records available at the site?	Not applicable as no home workers are used by the facility.

- 9: No Harsh or Inhumane Treatment is allowed
[\(Click here to return to NC-table\)](#)

ETI

9.1 Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited.

- 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. Dinesh Vashist – Sr., Manager HR & CSR is responsible to ensure compliance with these code requirements.
- There is no evidence of harsh or inhumane treatment of employees.
- All employees are treated with respect and dignity.
- Facility's disciplinary policies are explained to all employees and all employees are well aware about their rights.
- No evidence of physical abuse, sexual or any other harassment / verbal abuse is observed / reported.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Disciplinary policies

Non-compliance:

1. Description of non-compliance:

NC against ETI NC against Local Law:

None Observed

Local law:

Not Applicable

ETI requirement:

Not Applicable

Recommended corrective action:

Not Applicable

Objective evidence observed:
Not Applicable

Observation:	
Description of observation: None Observed	Objective evidence observed: Not Applicable
Local law or ETI requirement: Not Applicable	
Comments: Not Applicable	

Good Examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable

10. Other Issue areas: 10 A: Entitlement to Work and Immigration

[\(Click here to return to NC-table\)](#)

Additional Elements

10A1 Only workers with a legal right to work shall be employed or used by the supplier.
 10A2 All workers, including employment agency staff, must be validated by the supplier for their legal right to work by reviewing original documentation.
 10A3 Employment agencies must only supply workers registered with them.
 10A4 The supplier shall implement processes to enable adequate control over agencies with regards the above points and related legislation.

- **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:

- Facility has not employed any foreign employees.
- Facility had hired 208 employees through 01 labour contractor.
- The facility has not engaged any immigrant employees in the facility.
- Based from the review of employee attendance records and employee's interview, the facility has not employed any foreign nationals.
- Based from the review of employee personal files, all the employees are holding the legal rights to work.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Recruitment policies

Non-compliance:

1. Description of non-compliance:

NC against ETI/Additional Elements NC against Local Law

None Observed

Local law and/or ETI /Additional Elements requirement:

Not Applicable

Recommended corrective action:

Not Applicable

Objective evidence observed:

Not Applicable

Observation:	
Description of observation: None Observed	Objective evidence observed: Not Applicable
Local law or ETI/Additional elements requirement: Not Applicable	
Comments: Not Applicable	

Good examples observed:	
Description of Good Example (GE): None Observed	Objective evidence observed: Not Applicable



10. Other issue areas 10 B 2: Environment 2-pillar

[\(Click here to return to NC-table\)](#)

To be completed for a 2-Pillar SMETA Audit, and remove the following page which is 10B4 environment 4 pillar

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

10B2. 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:

- Mr. Dinesh Vashist – Sr., Manager HR & CSRs responsible for all environmental issues.
- Facility is aware of the legal environmental requirements.
- Facility has environmental policy displayed in local language at notice board.
- Facility is using dyes and chemicals in fabric processing operation.
- Facility has obtained exemption for pollution consent for "Air and Water" from local pollution control department on 17/12/2013.
- Facility had conducted necessary noise testing as required by law on 12/05/2016.
- Facility had conducted necessary air ambient testing as required by law on 15/07/2016.
- Facility had conducted stack emission test as required by law on 13/05/2016.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

- Environmental policy
- Air emission testing report like air ambient monitoring and stack emission testing report.
- Pollution certificates / Consent.

Non-compliance:	
<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law</p> <p>None Observed</p> <p>Local law and/or ETI /Additional Elements requirement: Not Applicable</p> <p>Recommended corrective action: Not Applicable</p>	<p>Objective evidence observed: Not Applicable</p>

Observation:	
<p>Description of observation: None Observed</p> <p>Local law or ETI/Additional elements requirement: Not Applicable</p> <p>Comments: Not Applicable</p>	<p>Objective evidence observed: Not Applicable</p>

Good examples observed:	
<p>Description of Good Example (GE): None Observed</p>	<p>Objective evidence observed: Not Applicable</p>

Worker Interview Summary

Worker Interview Summary	
A: Were workers aware of the audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
B: Were workers aware of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
C: Number of group interviews: <i>(Please specify number and size of groups. Please see SMETA Best Practice Guidance and Measurement Criteria)</i>	4 group of 5 employees (20)
D: Number of individual interviews <i>(Please see SMETA Best Practice Guidance and Measurement Criteria)</i>	Male: 05 Female: 01
E: Total number of interviewed workers <i>(Please see SMETA Best Practice Guidance and Measurement Criteria)</i>	Male: 25 Female: 01
F: 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
G: In general, what was the attitude of the workers towards their workplace?	<input checked="" type="checkbox"/> Favourable <input type="checkbox"/> Non-favourable <input type="checkbox"/> Indifferent
H: What was the most common worker complaint?	Nothing
I: What did the workers like the most about working at this site?	Good management behaviour and on time payment
J: Any additional comment(s) regarding interviews:	None
K: Attitude of workers to hours worked:	Positive







Agency Workers (if applicable) <i>(workers sourced from a local agent who are not directly paid by the site)</i>	
A: Number of agencies used (average):	Facility had hired 208 employee through 01 contractor. 1. Thakur Enterprises
B: Were agency workers' age/pay/hours included within scope of this audit	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
C: Were sufficient documents for agency workers available for review?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Wage, Working hour and social benefit documents were verified.

Other findings

Other Findings Outside the Scope of the Code
None Observed

Community Benefits <i>(Please list below any specific community benefits that the site management stated that they were involved in, for example, HIV programme, education, sports facilities)</i>
None Observed

Photo Form

		
<p>Facility name board</p>	<p>Facility entrance gate</p>	<p>Facility inside view</p>
		
<p>Child labour prohibited in facility</p>	<p>Display of abstract of factories acts</p>	<p>Policy Displayed</p>
		
<p>Working hours displayed</p>	<p>Notice Board</p>	<p>Attendance machine</p>

		
<p>Fire extinguisher</p>	<p>Hydrant point and hose pipe</p>	<p>Fire alarm call point</p>
		
<p>Visual fire alarm</p>	<p>Moulder Sprinkler</p>	<p>Emergency light installed at all exit gates</p>
		
<p>Evacuation map displayed at every production block</p>	<p>Assembly area</p>	<p>First aid box</p>

		
<p>Suggestion box provided in canteen</p>	<p>Yarn storage</p>	<p>Grieg fabric store</p>
		
<p>Carpet section</p>	<p>Clipping & Finishing Section</p>	<p>Carpet Packing Section</p>
		
<p>Fabric Checking Section</p>	<p>Stitching Section</p>	<p>Finishing Section</p>
		

Packing Section	Packed goods store	Diesel Storage
		
Eye wash station	Utility Section	Drinking Section
		
Male toilet facility	Female toilet facility	Solar System
		NA
Ambulance	No Smoking Sign	NA

Non Compliance Photos:

		
<p>LPG cylinder was stored outside canteen under direct sunlight</p>	<p>Fire extinguisher was found temporarily blocked with production material (carpets)</p>	<p>Escape route were not marked at one side for employees working in sewing section</p>

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:

Click here for A & AB members:

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

Click here for B members:

http://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRqLY_2brq_3d_3d

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