



SMETA Corrective Action Plan Report (CAPR)

Version 6.0



Audit Details			
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC: Not provided	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS: Not provided
Business name (Company name):	Dongguan Meili Electronic Ltd.		
Site name:	Dongguan Meili Electronic Ltd.		
Site address: <i>(Please include full address)</i>	No 429, Songshui Road, Shuiping Village, Dalang Town, Dongguan, City, Guangdong, China GPS Location: 22.876 N, 113.918 E	Country:	China
Site contact and job title:	Mr. Huang Ganbo/QA Manager		
Site phone:	+86 0769-833110430	Site e-mail:	baud@meilinet.cn
SMETA Audit Type:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health & Safety	<input checked="" type="checkbox"/> Environment <input type="checkbox"/> Business Ethics
Date of Audit:	11, 12-Jun-2018 Desktop review on 20-Jul-2018 Desktop review on 2-Aug-2018		

Audit Company Name & Logo: AsiaInspection Limited 	Report Owner (payee): Crest
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Audit Conducted By					
Commercial	<input checked="" type="checkbox"/>	Purchaser	<input type="checkbox"/>	Retailer	<input type="checkbox"/>
Brand owner	<input type="checkbox"/>	NGO	<input type="checkbox"/>	Trade Union	<input type="checkbox"/>
Multi-stakeholder	<input type="checkbox"/>	Combined Audit (select all that apply)			

Audit Content:

- (1) A SMETA audit was conducted which included some or all of Labour Standards, Health & Safety, Environment and Business Ethics. The SMETA Best Practice Version 6.0 April 2017 was applied. The scope of workers included all types at the site e.g. direct employees, agency workers, workers employed by service providers and workers provided by other contractors. Any deviations from the SMETA Methodology are stated (with reasons for deviation) in the SMETA Declaration.
- (2) The audit scope was against the following reference documents
 - 2-Pillar SMETA Audit**
 - ETI Base Code
 - SMETA Additions
 - Universal rights covering UNGP
 - Management systems and code implementation,
 - Responsible Recruitment
 - Entitlement to Work & Immigration,
 - Sub-Contracting and Home working,
 - 4-Pillar SMETA**
 - 2-Pillar requirements plus
 - Additional Pillar assessment of Environment
 - Additional Pillar assessment of Business Ethics
 - The Customer's Supplier Code (Appendix 1)
- (3) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non compliances on both the audit report, CAPR and on Sedex.
- (4) Any Non-Compliance against customer code shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

SMETA Declaration

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

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

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

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

Lead auditor: Jason Chen

Team auditor: Jason Chen

Interviewers: Jason Chen

Report writer: Jason Chen

Report reviewer: Karmela Malinao

Date of declaration: 11, 12-Jun-2018

Note: The focus of this ethical audit is on the ETI Base Code and local law. The additional elements will not be audited in such depth or scope, but the audit process will still highlight any specific issues.

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

Audit Parameters

Audit Parameters			
A: Time in and time out	Day 1 Time in: 9:20 Day 1 Time out: 17:00	Day 2 Time in: 8:50 Day 2 Time out: 17:00	Day 3 Time in: Day 3 Time out:
B: Number of Auditor Days Used:	2 man-days		
C: 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		
D: Was the audit announced?	<input checked="" type="checkbox"/> Announced <input type="checkbox"/> Semi – announced: Window detail: weeks <input type="checkbox"/> Unannounced		
E: Was the Sedex SAQ available for review?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If No , why not The facility did not complete Sedex SAQ.		
F: Any conflicting information SAQ/Pre-Audit Info to Audit findings?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes , please capture detail in appropriate audit by clause Not applicable		
G: Who signed and agreed CAPR (Name and job title)	Mr. Huang Ganbo/QA Manager		
H: Is further information available (if Y please contact audit company for details)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
I: Previous audit date:	Nil		
J: Previous audit type:	Nil		
K: Was any previous audit reviewed during this audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A		

Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No Not applicable

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 type="checkbox"/> No Not applicable
C: Present at the closing meeting?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No Not applicable
D: If Worker Representatives were not present please explain reasons why (only complete if no worker reps present)	N/A (Worker Representatives were present).		
E: If Union Representatives were not present please explain reasons why: (only complete if no union reps present)	N/A (No trade union was established).		

Guidance:

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

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

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

Root cause (see column 4)

Note: it is not mandatory to complete this column at this time.

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).

Corrective Action Plan

Corrective Action Plan – non-compliances

Non-Compliance Number <i>The reference number of the non-compliance from the Audit Report, for example, Discrimination No.7</i>	New or Carried Over <i>Is this a new non-compliance identified at the follow-up or one carried over (C) that is still outstanding</i>	Details of Non-Compliance <i>Details of Non-Compliance</i>	Root cause <i>(completed by the site)</i>	Preventative and Corrective Actions <i>Details of actions to be taken to clear non-compliance, and the system change to prevent re-occurrence (agreed between site and auditor)</i>	Timescale <i>(Immediate, 30, 60, 90, 180, 365)</i>	Verification Method <i>Desktop / Follow-Up [D/F]</i>	Agreed by Management and Name of Responsible Person: <i>Note if management agree to the non-compliance, and document name of responsible person</i>	Verification Evidence and Comments <i>Details on corrective action evidence</i>	Status <i>Open/Closed or comment</i>
Safety and Hygienic Conditions No.3-1	New	In accordance with standards for the Design of Industrial Enterprises (GBZ1-2010) 8.3. The facility did not provide first-aid kits for employees in the warehouse located on 2F and 3F of Building B. B 栋 2 楼 3 楼仓库没有放置医药箱。 445. First aid boxes not available in certain areas	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should provide the first-aid kits for related production area.	30 days	Desktop	Mr. Huang Ganbo/QA Manager	Desktop review on 20-Jul-2018 Status: Closed First aid kit was equipped.	Closed
Safety and Hygienic Conditions No.3-2	New	In accordance with the Dangerous Chemical Safety Management Regulation, Article 24 No secondary container was provided for 2 barrels of glue in the	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should ensure the chemicals were stored with secondary container.	30 days	Desktop	Mr. Huang Ganbo/QA Manager	Desktop review on 20-Jul-2018 Status: Closed The secondly container was provided for barrels of glue.	Closed

		<p>assembly workshop on 4F of Building A. A 栋生产楼 4F 装配车间有 2 桶胶水空调没有放入二次容器。</p> <p>370. No / inadequate safety measures / anti-explosion measures for chemicals (e.g. no anti-leaking system / secondary container / unbunded)</p>							
Safety and Hygienic Conditions No.3-3	New	<p>In accordance with the PRC Law of Prevention and Control of Occupational Diseases article 26</p> <p>There was no enough water pressure on eye wash station in the spraying workshop on 4F of building B, and no running water was provided for eye wash station in the spraying workshop on 5F of building B. B 栋生产楼 4F 喷油车间和化学品仓库的洗眼器没有足够的水压。B 栋生产楼 5F 喷油车间配备的不是活水的洗眼器。</p> <p>372. No / inadequate eye wash / shower station in hazardous environments</p>	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should install appropriate washing equipment at the workplace with toxic and hazardous substances.	30 days	Desktop	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018</p> <p>Status: Closed</p> <p>Factory fixed the eye wash facility and it works with running water.</p>	Closed

<p>Safety and Hygienic Conditions No.3-4</p>	<p>New</p>	<p>In accordance with Law of the PRC on Work Safety article 29</p> <p>No belt guard was equipped to air pressure machine in the injection workshop, moreover, electrical wire was exposed on the air pressure machine. 注塑车间一台空压机没有安装机器保护盖，机器的电线和开关外露。</p> <p>424. Lack of eye or needle guards on sewing machines or belt / hand guards on machines</p>	<p><input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:</p>	<p>The facility should equip belt guards to all air pressure machines to comply with the law.</p>	<p>30 days</p>	<p>Desktop</p>	<p>Mr. Huang Ganbo/QA Manager</p>	<p>Desktop review on 20-Jul-2018 Status: Closed The air pressure machine was equipped with belt guard.</p>	<p>Closed</p>
<p>Safety and Hygienic Conditions No.3-5</p>	<p>New</p>	<p>In accordance with the Fire Safety of Building Design Regulation (GB50016-2006) article 3.3.8</p> <p>A machine repaired workshop was located on the 1F in the dormitory building. 宿舍有一个维修车间</p> <p>357. Production area and dormitory area together, creating potential fire risk</p>	<p><input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:</p>	<p>The facility should remove the machine repaired workshop from the dormitory building.</p>	<p>30 days</p>	<p>Desktop</p>	<p>Mr. Huang Ganbo/QA Manager</p>	<p>Desktop review on 20-Jul-2018 Status: Open The photo provided did not shown the repaired workshop was moved from the dormitory.</p>	<p>Open</p>
<p>Safety and Hygienic Conditions No.3-6</p>	<p>New</p>	<p>In accordance with the PRC construction law article 61</p>	<p><input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers</p>	<p>The facility should maintain the production building in good condition.</p>	<p>30 days</p>	<p>Desktop</p>	<p>Mr. Huang Ganbo/QA Manager</p>	<p>Desktop review on 20-Jul-2018 Status: Open</p>	<p>Open</p>

		<p>There was crack on the roof of loading area on 1F of Building B. which lead to leak water. B 栋生产楼 1F 货台屋顶有明显裂缝，导致有屋顶漏水。</p> <p>392. Minor cracks observed in building</p>	<input type="checkbox"/> Other – please give details:					<p>No evidences provided to verify the issue of crack..</p>	
Safety and Hygienic Conditions No.3-7	New	<p>In accordance with the PRC Law of Prevention and Control of Occupational Diseases article 36</p> <p>All 3 employees in high pressing workshop have not been conducted occupational health examination since they have joined the facility. 超声波岗位的员工没有获得职业病健康体检报告。</p> <p>470. Inadequate / isolated failure in conducting medical examinations/ occupational health checks of workers in hazardous situations e.g. noise / chemicals</p>	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>The facility shall conduct regular occupational health examination for those laborers who are engaged in using or contacting noxious articles in their working process.</p>	30 days	Desktop	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018 Status: Open Factory planed a health examination for pressing workshop. However, no examination report was provided. Desktop review on 2 Aug-2018 Status: Open Factory arranged the health examination for pressing workshop and provide the examination report for review.</p>	Closed
Safety and Hygienic Conditions No.3-8	New	<p>In accordance with Law of the PRC on Work Safety article 37</p> <p>The facility did not provide earplugs for the</p>	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>The facility should provide earplugs for the employees who working in the injection workshop.</p>	30 days	Desktop	Mr. Huang Mr. Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018 Status: Closed The workers were required to wear correct PPE earplugs and they</p>	Closed

		<p>employees working in the injection workshop. 注塑车间的 7 名员工没有佩戴耳塞。</p> <p>430. No / inadequate PPE provided for certain employees / agency workers / foreign /migrant workers / night shift etc.</p>						wore the earplugs in injection workshop	
Safety and Hygienic Conditions No.3-9	New	<p>In accordance with ETI Base Code 3.1.</p> <p>No assembly point was showed on the evacuation map at the facility. 工厂所有的逃生图上都没有标明紧急集合点的位置。</p> <p>324. Inadequate evacuation plan / emergency route / unclear signage including marking of fire assembly points</p>	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should set assembly point on the evacuation map.	30 days	Desktop	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018</p> <p>Status: Open</p> <p>The assembly point was still not shown on the evacuation map</p>	Open
Safety and Hygienic Conditions No.3-10	New	<p>In accordance with the Code for Design of Extinguisher Distribution in Buildings (GB 50140-2005) article 5.1.3</p> <p>2 out of 6 fire extinguishers were placed on the stool in the warehouse on1F of Building B.</p>	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should adjust the height of fire extinguishers to ensure the top of the extinguisher to the floor is less than 1.50m.	30 days	Desktop	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018</p> <p>Status: Closed</p> <p>Factory moved the fire extinguishers and installed it on the wall properly.</p>	Closed

		<p>B 栋生产楼 1F 仓库, 有 2/6 个灭火器放在凳子上, 没有正确存放灭火器。</p> <p>293. Fire extinguishers incorrectly installed e.g. incorrect height / placed on floor</p>							
Safety and Hygienic Conditions No.3-11	New	<p>In accordance with the Fire Safety of Building Design Regulation GB50016-2006 article 11.3.4.1</p> <p>1 out of 2 exit signs were broken in the kitchen A, and no exit sign was in the kitchen B. A 食堂有 1/2 个安全出口标识损坏, B 食堂安全出口没有安装安全出口标识。</p> <p>513. Inadequate emergency exit signs</p>	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should install exit signs in the kitchen.	30 days	Desktop	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018</p> <p>Status: Closed</p> <p>Factory fixed the exit signs in the kitchen.</p>	Closed
Safety and Hygienic Conditions No.3-12	New	<p>In accordance with the PRC Fire Prevention Law article 28</p> <p>1 fire hydrant was blocked by materials on the 1F of dormitory Building A and dormitory Building B, respectively. A 栋宿舍一楼楼梯口有 1 个消防栓被堵塞, B 栋宿舍有一个消防栓被堵塞。</p>	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should relocate that fire hydrant and ensure all the fire hydrants are easily accessible.	30 days	Desktop	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018</p> <p>Status: Closed</p> <p>Factory cleaned the obstruction to ensure the fire hydrant was accessible.</p>	Closed

		290. Blocked access to firefighting equipment e.g. fire extinguishers							
Safety and Hygienic Conditions No.3-13	New	In accordance with the PRC Fire Prevention Law article 16 (4) 2 out of 4 exits on stairway were blocked by material on Dormitory B. B 栋宿舍有 2/4 个楼梯口被堵塞。 316. Isolated occurrence of blocked fire exits	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should ensure all passages and emergency exits are clear and unlocked at all times.	30 days	Desktop	Mr. Huang Ganbo/QA Manager	Desktop review on 20-Jul-2018 Status: Closed Factory cleaned the obstruction to ensure the exits on stairway was not blocked.	Closed
Child Labour 4-1	New	In accordance with PRC Labour Law Article 41 and ETI Base Code 4.4 The monthly overtime hours of 2 out of 15 young workers were 56 hours in April 2018 (current month), 47 hours in January 2018 (random month). Young workers had worked overtime was 4 hours per day for around 1-2 weekdays in a week on average. 抽查 2/15 名未成年工人的 2018 年 4 月和 1 月的考勤记录发现, 未成年的跟普通员工一样有较多的加班, 日加班最大达到 4 小时, 月加班分别达到 56 小时和 47 小时。	<input checked="" type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should reduce the overtime hours to ensure it is within 3 hours per day and 36 hours per month.	60 days	Follow-up	Mr. Huang Ganbo/QA Manager	Desktop review on 20-Jul-2018 Status: Open The overtime improvement cannot be verified by desktop. It will be subject to onsite verification.	Open

		604. Isolated instances of young workers' overtime hours are contrary to law							
Living Wages and Benefits No.5	New	<p>In accordance with the PRC Labor Law Article 72 and ETI Base Code 5.1.</p> <p>Through reviewing social insurance receipt of May 2018, 150 out of 253 employees had participated in pension insurance, unemployment insurance, 170 out of 253 employees had participated in childbirth insurance, 175 out of 253 employees had participated in work-related injury insurance, 177 out of 253 employees had participated in medical insurance; Other 100 employees had participated in commercial accident insurance.</p> <p>工厂共有 253 名员工，其中有 150 名员工参加购买了养老保险，失业保险，170 名员工参加购买了生育保险，175 名员工参加购买了工伤保险，177 名员工参加购买了医疗保险，另外其他员工都购买了商业意外保险。</p> <p>635. Some social insurance paid for some employees</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should ensure all employees participate in the all 5 types of social insurance schemes and therefore receive all of their statutory welfare to comply with the Law.	90 days	Follow-up	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018</p> <p>Status: Open</p> <p>The improvement of insufficient social coverage cannot be verified by desktop. It will be subject to onsite verification.</p>	Open

Working Hours No.6	New	<p>In accordance with the PRC Labor Law Article 41 and ETI Base Code 6.1.</p> <p>The monthly overtime hours of all 26 selected employees were 84 hours in April 2018 (current month), 83 hours in January 2018 (random month) and 63 hours in October 2017(random month). Employees had worked overtime was 4 hours per day for around 2-3 weekdays in a week on average.</p> <p>抽查了 26 名员工的考勤记录, 其中 2018 年 4 月月加班时间最大达到 84 小时, 2018 年 1 月月加班时间最大达到 83 小时, 2017 年 10 月份月加班时间最大达到 68 小时。员工平均每周 3 至 5 个工作日中每天的加班时间为 4 小时。</p> <p>717. Systemic / regular overtime hours which exceed the local law daily / weekly / monthly over an extended period of time</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	The facility should reduce the overtime hours to ensure it is within 3 hours per day and 36 hours per month.	60 days	Follow-up	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018</p> <p>Status: Open</p> <p>The overtime improvement cannot be verified by desktop. It will be subject to onsite verification.</p>	Open
Working Hours No.6	New	<p>In accordance with ETI Base Code 6.4.</p> <p>The weekly overtime hours of all 26 selected employees were 63 hours in April 2018 (current month), 63 hours in</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	It is recommended that the facility should reduce the overtime hours to ensure it is within 20 hours per week.	60 days	Follow Up	Mr. Huang Ganbo/QA Manager	<p>Desktop review on 20-Jul-2018</p> <p>Status: Open</p> <p>The overtime improvement cannot be verified by desktop. It will be subject to onsite verification.</p>	Open

		<p>January 2018 (random month) and 60 hours in October 2017(random month). 抽查了 26 名员工的考勤记录，其中 2018 年 4 月周上班时间最大达到 63 小时，2018 年 1 月周上班时间最大达到 63 小时，2017 年 10 月份周上班时间最大达到 60 小时。</p> <p>731. Total hours exceed 60 hours per week on a regular basis for a majority of the workforce - ETI requirements are not met</p>							
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Corrective Action Plan – Observations

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

Good examples

Good example Number <i>The reference number of the non-compliance from the Audit Report, for example, Discrimination No.7</i>	Details of good example noted	Any relevant Evidence and Comments
Not applicable	None observed	Not applicable

Confirmation

<p>Please sign this document confirming that the above findings have been discussed with and understood by you: (site management) <i>If actual signatures are not possible in electronic versions, please state the name of the signatory in applicable boxes, as indicating the signature.</i></p>		
A: Site Representative Signature:	Mr. Huang Ganbo	Title: QA Manager Date: 12-Jun-2018
B: Auditor Signature:	Jason Chen	Title: Auditor Date: 12-Jun-2018
C: Please indicate below if you, the site management, dispute any of the findings. No need to complete D-E, if no disputes.		
D: I dispute the following numbered non-compliances: Nil		
E: Signed: <i>(If any entry in box D, please complete a signature on this line)</i>	Nil	Title Date
F: Any other site Comments:		

Guidance on Root Cause

Explanation of the Root Cause Column

If 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

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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