

SMETA Corrective Action Plan Report (CAPR) Modified Version

Version 4.0.1 – Customer Code Version, Jun 2012

Supplier name:	Job Place Ltd.	
Site country:	Israel	
Site name:	Osem Nestle (Job Place Ltd.)	
SMETA Audit Type:	<input type="checkbox"/> 2-Pillar	<input checked="" type="checkbox"/> 4-Pillar

Audit Content:

(1) A SMETA 4-Pillar audit was conducted which included some or all of Labour Standards, Health & Safety, Environment and Business Practices. The SMETA Best Practice Methodology v.4.0 May 2012 was applied. 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
 - o Management systems and code implementation,
 - o Entitlement to Work & Immigration,
 - o Sub-Contracting and Home working,

4-Pillar SMETA Audit

- o 2-Pillar requirements plus
- o Additional Pillar assessment of Environment
- o Additional Pillar assessment of Business Practices

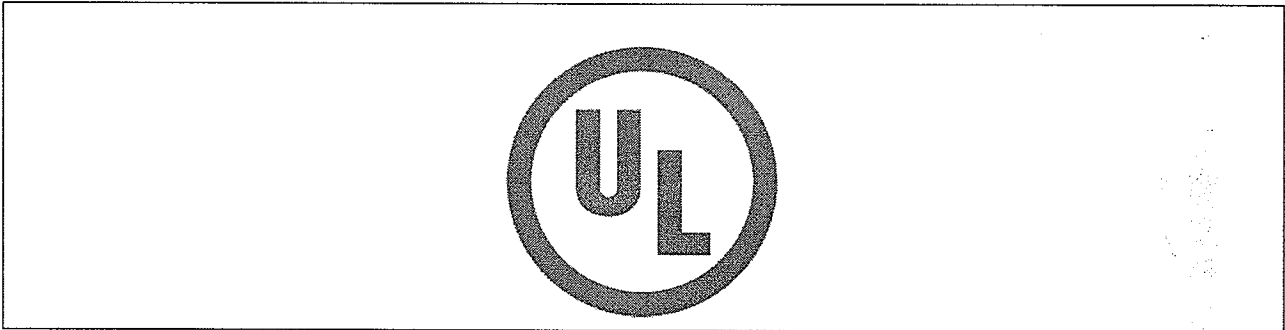
The Customer's Supplier Code (Appendix 1)

(3) Where appropriate non compliances were raised against the ETI base-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.



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Audit Company Name:	Report Owner (payee): <i>(If paid for by the customer of the site, please remove for Sedex upload)</i> (intentionally left blank)
Sedex Company Reference: <i>(only available on Sedex System):</i>	S N/A
Sedex Site Reference: <i>(only available on Sedex System)</i>	P N/A

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: (If applicable)	N/A
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Audit Details

Audit Details																					
A: Report #:	N/A																				
B: Date of audit:	July 13, 2014																				
C: Time in and time out: <i>Please see Best Practice Guidance page</i>	<table border="1"> <tr> <td colspan="2">Day 1</td> </tr> <tr> <td>Time in:</td> <td>09:40</td> </tr> <tr> <td>Time out:</td> <td>16:00</td> </tr> <tr> <td colspan="2">Day 2</td> </tr> <tr> <td>Time in:</td> <td></td> </tr> <tr> <td>Time out:</td> <td></td> </tr> </table>	Day 1		Time in:	09:40	Time out:	16:00	Day 2		Time in:		Time out:									
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D: Number of Auditor Days Used: <i>(number of auditor x number of days)</i>	1.5 auditor-day																				
E: Audit type:	<input type="checkbox"/> Full Initial <input checked="" type="checkbox"/> Periodic <input type="checkbox"/> Full Follow-up <input type="checkbox"/> Partial Follow-Up <input type="checkbox"/> Partial Other - Define																				
F: Was the audit announced?	<input type="checkbox"/> Announced <input checked="" type="checkbox"/> Semi – announced <input type="checkbox"/> Unannounced																				
G: Was the Sedex SAQ available for review?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No																				
If no, why not?	Agency is not subscribed in Sedex																				
I: Auditor name(s) and role(s):	<table border="1"> <thead> <tr> <th>Auditor</th> <th>Role</th> <th>First name</th> <th>Family name</th> </tr> </thead> <tbody> <tr> <td>Auditor 1</td> <td>Lead Auditor</td> <td>Itzik</td> <td>Schatz</td> </tr> <tr> <td>Auditor 2</td> <td>Team Auditor</td> <td></td> <td></td> </tr> <tr> <td>Auditor 3</td> <td>Team Auditor</td> <td></td> <td></td> </tr> <tr> <td>Auditor 4</td> <td>Team Auditor</td> <td></td> <td></td> </tr> </tbody> </table>	Auditor	Role	First name	Family name	Auditor 1	Lead Auditor	Itzik	Schatz	Auditor 2	Team Auditor			Auditor 3	Team Auditor			Auditor 4	Team Auditor		
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K: Report reviewed by:	<table border="1"> <tr> <td>First name</td> <td>Family name</td> </tr> <tr> <td></td> <td></td> </tr> </table>	First name	Family name																		
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L: Report issue date:	July 14, 2014																				
M: Supplier name:	Job Place Ltd.																				
N: Site name:	Osem Nestle (Job Place Ltd.)																				



O: Site country:	Israel			
P: Site contact and job title:	First name	Family name	Job title	
	Ravit	Yflach	PA of GM	
Q: Site address:	Street address 1	80 Menachem Begin St.		
	Street address 2			
	Town / City	Afula, Israel		
	Province			
	Postal code			
Site phone:	Country code	City code	Phone number	
	972	52	5888128	
Site fax:	Country code	City code	Phone number	
	972	4	6404121	
Site e-mail:	ravit@job-place.co.il			
R: Applicable business and other legally required licence numbers: for example, business license no, and liability insurance	Business license# 759 valid until October 02, 2015			
S: Products/Activities at site, for example, garment manufacture, electricals, toys, grower	Manpower Agency which supplies employees to Osem Nestle. Osem Nestle Produce Pastry Products.			
T: Audit results reviewed with site management?	Yes			
U: Who signed and agreed CAPR (Name and job title)	First name	Family name	Job title	
	Ravit	Yflach	PA of GM	
V: Did the person who signed the CAPR have authority to implement changes?	Yes			
W: Previous audit date:	N/A			
X: 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 Audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	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:			



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)

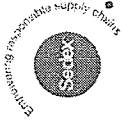
Note: it is not mandatory to complete this column at this time.

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 Appendix 2.5 for more explanation of "root cause".

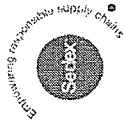
Next Steps:

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>
Management Systems and Code Implementation No. 1	N	It was noted ETI Base Code has not been communicated at all to any of the employees in the facility		Facility shall communicate the ETI Base Code to all employees.	30 days	Follow-up	Y/ Mrs. Ravit Yflach/ PA of GM		
Forced Labour No. 1	N	It was noted facility take monetary deposits for safety shoes.		Facility shall not take monetary deposits from employees for any kind of PPE's.	30 days	Follow-up	Y/ Mrs. Ravit Yflach/ PA of GM		
Working Hours No. 1	N	It was noted one (1) employee on May 2014 exceeded weekly OT working hours and worked for 14.99 OT hours		Facility shall ensure employees will not exceed 12 weekly OT hours.	60 days	Follow-up	Y/ Mrs. Ravit Yflach/ PA of GM		



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Working Conditions are Safe and Hygienic No. 1	N	It was noted in one (1) first aid kit at the production area the pain killers are expired and missing scissors.		Facility shall complete all the missing supplies in first aid kits.	30 days	Desktop	Y/ Mrs. Racheli Kisos/ Safety manager.		
Working Conditions are Safe and Hygienic No. 2	N	It was noted at the bagel dep. the illuminated exit sign is missing.		Facility shall install illuminated exit sign at the bagel dep.	30 days	Desktop	Y/ Mrs. Racheli Kisos/ Safety manager.		

Corrective Action Plan – Observations

Non-Compliance Number <i>The reference number of the observation from the Audit Report, for example, Discrimination</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>	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>



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No.7									
None									


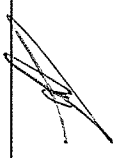
Good examples		
Good example Number <i>The reference number of the non-compliance from the Audit Report, for example, Discrimination No.7</i>	Details of good example noted	Any relevant Evidence and Comments
Wages & Benefits No. 1	Factory provides employees with gifts to holidays.	This was noted during management and employees interviews
Environmental No. 1	Factory recycles paper, cooking oil, sesame, salt and plastic.	This was noted during management interview and site tour

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
Confirmation

Please sign this document confirming that the above findings have been discussed with and understood by you: (site management)

Site Representative Signature:		Title	ESM MSA
		Date	13/7/14
Auditor Signature:		Title	Auditor
		Date	13/7/14

Please indicate below if you, the site management, dispute any of the findings
I dispute the following numbered non-compliances:

Nil

Signed:		Title	ESM MSA
		Date	13/7/14

Site Comments:

Nil

Appendix 2.5. Guidance on Root Cause

Explanation of the Root Cause Column

If a non-compliance is to be rectified by a corrective action which will also prevent the non-compliance re-occurring, it is necessary to consider whether a system change is required. Understanding the root cause of the non-compliance is essential if a site is to prevent the issue re-occurring.

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

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

Some examples of finding a "root cause"

Example 1
where excessive hours have been noted the real reason for these needs to be understood, whether due to production planning, bottle necks in the operation, insufficient training of operators, delays in receiving trims, etc.

Example 2
A non-compliance may be found where workers are not using PPE that has been provided to them. This could be the result of insufficient training for workers to understand the need for its use; a lack of follow-up by supervisors aligned to a proper set of factory rules or the fact that workers feel their productivity (and thus potential earnings) is affected by use of items such as metal gloves.

Example 3
A site uses fines to control unacceptable behaviour of workers.

International standards (and often local laws) may require that workers should not be fined for disciplinary reasons. It may be difficult to stop fines immediately as the site rules may have been in place for some time, but to prevent the non-compliance re-occurring it will be necessary to make a system change.

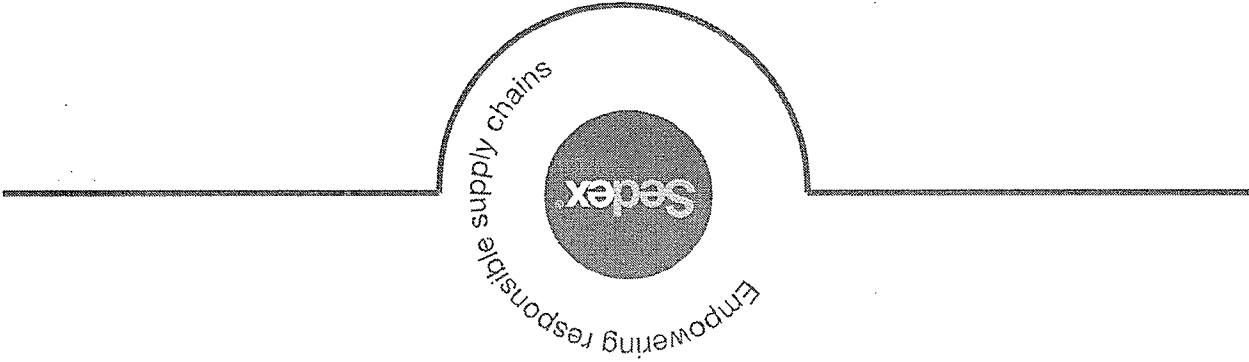
The symptom is fines, but the root cause is a management system which may break the law. To prevent the problem re-occurring it will be necessary to make a system change for example the site could consider a system which rewards for good behaviour

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

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



For more information on Sedex please go to www.sedexglobal.com or email helpdesk@sedexglobal.com



http://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRqLY_2brq_3d_3d
Click here for B members:

http://www.surveymonkey.com/s.aspx?sm=rPsbE0FQ52ehCo3Inq5lw_3d_3d
Click here for A & AB members:

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

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

