



# SMETA Corrective Action Plan Report (CAPR)

Version 6.0



**Audit Details**

Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC: Firma Sedex sistemine henüz üye değildir. / Facility has not been registered to Sedex system yet.	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS: Firma Sedex sistemine henüz üye değildir. / Facility has not been registered to Sedex system yet.
Business name (Company name):	PASIN TEKSTIL SAN. TIC. LTD. STI.		
Site name:	PASIN TEKSTIL SAN. TIC. LTD. STI.		
Site address: <i>(Please include full address)</i>	CUMHURİYET MAH. BEREKET SOK. NO:28 SULTANGAZI/ İSTANBUL	Country:	TURKIYE/TURKEY
Site contact and job title:	ISMAIL KIVANC PASIN – FIRMA SAHIBI / COMPANY OWNER		
Site phone:	00902126376926	Site e-mail:	kivanc@pasintekstil.com
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:	11.09.2017		

**Audit Company Name & Logo:**  
SGS TURKEY



**Report Owner (payee):**  
PASIN TEKSTIL SAN. TIC. LTD. STI.

**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): Firma Şubat 2017'de mevcut adresine taşınmıştır ve Şubat 2017 öncesine ait zaman kayıtları firmada mevcut değildir. Ayrıca denetim günü 9 mavi yaka çalışan mevcuttur ve 9 çalışanla görüşülmüştür. Dolayısıyla 9 çalışanın Şubat 2017, Mart 2017, Nisan 2017 ve Mayıs 2017 zaman ve ödeme kayıtları incelenmiştir. / The company moved to current address in February 2017 and time records were not available before February 2017. Additionally there were 9 blue-collared employees available on audit day and 9 employees were interviewed. Therefore 9 employees' time and wage records were reviewed February 2017, March 2017, April 2017 and May 2017.

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

Lead auditor: ILKER KARAKAVUK  
Team auditor: ILKER KARAKAVUK  
Interviewers: ILKER KARAKAVUK

Report writer: ILKER KARAKAVUK

Report reviewer: SEDA BAYER

Date of declaration: 11.09.2017

*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: 11:00 Day 1 Time out: 13:00	Day 2 Time in: - Day 2 Time out: -	Day 3 Time in: - Day 3 Time out: -
B: Number of Auditor Days Used:	1		
C: Audit type:	<input type="checkbox"/> Full Initial <input type="checkbox"/> Periodic <input type="checkbox"/> Full Follow-up <input type="checkbox"/> Partial Follow-Up <input checked="" type="checkbox"/> Partial Other – Define (Desktop review-2)		
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: Firma Sedex sistemine henüz üye değildir. / Facility has not been registered to Sedex system yet.		
F: Any conflicting information SAQ/Pre-Audit Info to Audit findings?	<input type="checkbox"/> Yes <input type="checkbox"/> No Uygulanabilir değil. / NA If <b>Yes</b> , please capture detail in appropriate audit by clause		
G: Who signed and agreed CAPR (Name and job title)	ISMAL KIVANC PASIN – FIRMA SAHIBI / COMPANY OWNER		
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:	Yoktur/None		
J: Previous audit type:	Yoktur/None		
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 type="checkbox"/> Yes NA	<input type="checkbox"/> No <input type="checkbox"/> No (N/A)



B: Present at the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes NA <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No (N/A)
C: Present at the closing meeting?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes NA <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No (N/A)
D: If Worker Representatives were not present please explain reasons why (only complete if no worker reps present)	Firmada çalışan temsilcisi bulunmamaktadır. / There was no worker representative.		
E: If Union Representatives were not present please explain reasons why: (only complete if no union reps present)	Firmada sendikal faaliyet bulunmamaktadır / There was no unionisation activity in the company.		

**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](http://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](http://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>
0B. Yönetim Sistemleri ve Kodun Uygulanması / Management Systems and Code Implementation  (1)  LL +EK MADDE/ADDITIONAL ELEMENT 0.B.2	YENI/NEW	Firmada işyeri açma ve çalışma ruhsatı bulunmamaktadır.  There was no workplace health and safety operating permit in the company.	<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:	Lütfen İşyeri açma ve çalışma ruhsatı temin ediniz.  It is recommended that workplace health and safety operating permit should be taken.	90 GUN/DAYS	MASAUSTU / DESKTOP	EVET / YES  ISMAIL KIVANC PASIN	<b>08.09.2017 tarihli masaüstü doğrulama:</b> İşyeri açma ve çalışma ruhsatı sağlanmıştır. İlgili döküman SGS Türkiye'ye gönderilmiştir.  <b>Desktop verification performed on 08.09.2017:</b> Workplace health and safety operating permit was provided. Related document was sent to SGS Turkey.	<b>CLOSED / KAPANDI</b>
3. Sağlık ve Güvenlik Koşulları / Safety and Hygienic Conditions  (1)  LL	YENI/NEW	Firmada bulunan 1 buhar kazanına fenni muayene yapılmamıştır. Ayrıca 2 asansörün fenni muayanesinde düzeltilmesi gereken eksiklikler not edilmiştir.	<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:	Lütfen ilgili fenni muayeneleri yaptırınız ve uygun kayıtlarını saklayınız.	60 GUN/DAYS	MASAUSTU / DESKTOP	EVET / YES  ISMAIL KIVANC PASIN	<b>11.09.2017 tarihli masaüstü doğrulama:</b> Firmada buhar kazanının fenni muayenesi yapılmıştır ve asansörlerin birçok eksiklikleri giderilmiştir ve kullanılmalarında sakınca olmadığına dair	<b>CLOSED / KAPANDI</b>



		It was noted that periodical inspection of 1 steam boiler was not done. Additionally non-compliances were not at periodical inspection reports of 2 lifts.		It is recommended that related inspections should be done and proper records should be kept.				raporlar temin edilmiştir ve ilgili konu kapanmıştır. İlgili dökümanlar SGS Türkiye'ye gönderilmiştir.  <b>Desktop verification performed on 11.09.2017:</b> Periodical inspection of steam boiler was done and most of non-compliances were improved for lifts and reports of lifts with note 'no inconvenience to their use' were provided and related non-compliance closed. Related documents were sent to SGS Turkey.	
3. Sağlık ve Güvenlik Koşulları / Safety and Hygienic Conditions  (2)  LL + ETI 3.2	YENI/NEW	Firmada ilkyardımcı sertifikalı çalışan mevcut değildir. (2 kişi için başvuru yapılmıştır.)  It was noted that there was no first aid certificated employee in the company. (Applications were done for 2 workers.)	<input checked="" 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:	Lütfen her 20 kişiye 1 kişi düşecek şekilde sertifikalı ilkyardımcı sağlayınız.  It is recommended that there should be at least one certificated first aider for every 20 employees.	30 GUN/DAYS	MASAUSTU / DESKTOP	EVET / YES  ISMAIL KIVANC PASIN	-	-
3. Sağlık ve Güvenlik Koşulları / Safety and Hygienic Conditions  (3)  LL	YENI/NEW	Firmadaki overlok, ilk düğme makinelerinde göz koruyucu ve rivet çakım makinesinde otomatik durdurucu sensör mevcut değildir.	<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:	Lütfen ilgili makinelere otomatik durdurucu sensör ve göz koruyucuları sağlayınız.	30 GUN/DAYS	MASAUSTU / DESKTOP	EVET / YES  ISMAIL KIVANC PASIN	-	-

		It was noted that there was no eye guard on over-lock, button hole and button sewing machines and no automatic stopper sensor available on rivet attachment machine.		It is recommended that automatic stopper sensors and eye guards should be provided related machines.					
3. Sağlık ve Güvenlik Koşulları / Safety and Hygienic Conditions (4) LL	YENI/NEW	Firmadaki ara katlarda acil çıkış yönlendirmeleri mevcut değildir.  It was noted that there was no evacuation sign on stairways.	<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:	Lütfen ilgili alanlara acil çıkış yönlendirmeleri sağlayınız.  It is recommended that evacuation signs should be provided to related areas.	30 GUN/DAYS	MASAUSTU / DESKTOP	EVET / YES  ISMAIL KIVANC PASIN	<b>08.09.2017 tarihli masaüstü doğrulama:</b> Arakatlarda yönlendirme işaretleri sağlanmıştır. İlgili fotoğraflar SGS Türkiye'ye gönderilmiştir.  <b>Desktop verification performed on 08.09.2017:</b> Evacuation signs were provided to stairways. Related photos were sent to SGS Turkey.	<b>CLOSED / KAPANDI</b>
3. Sağlık ve Güvenlik Koşulları / Safety and Hygienic Conditions (5) LL	YENI/NEW	Firmanın bina ana acil çıkış kapılarında 1 tanesi yukarıya doğru katlanır tip kapıdır.  It was noted that one of the main emergency exit doors of building was upwards folding type door.	<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:	Lütfen ilgili alana uygun acil çıkış kapısı sağlayınız.  It is recommended that proper emergency exit doors should be provided to related area.	60 GUN/DAYS	MASAUSTU / DESKTOP	EVET / YES  ISMAIL KIVANC PASIN	<b>08.09.2017 tarihli masaüstü doğrulama:</b> Firmadaki ilgili acil çıkış kapısının dışa açıldığı tespit edilmiştir. İlgili fotoğraflar SGS Türkiye'ye gönderilmiştir.  <b>Desktop verification performed on 08.09.2017:</b> Related emergency exit door was opening outwards. Related photos were sent to SGS Turkey.	<b>CLOSED / KAPANDI</b>

<p>5. Yaşam Ücreti ve Yan Haklar / Living Wages and Benefits</p> <p>(1)</p> <p>LL</p>	<p>YENI/NEW</p>	<p>Çalışanlara yapılan ödemelerin tümü SGK'ya bildirilmemektedir. Maas farkı ve fazla mesai tutarları çalışanlara elden nakit olarak verilmektedir.</p> <p>It was noted that total payment amounts were not registered to Social Security Institution completely. Wage differentials other than minimum wage and overtime payments are paid by cash non-officially.</p>	<p><input type="checkbox"/> Training</p> <p><input checked="" type="checkbox"/> Systems</p> <p><input type="checkbox"/> Costs</p> <p><input type="checkbox"/> lack of workers</p> <p><input type="checkbox"/> Other – please give details:</p>	<p>Lütfen çalışanlara yapılan tüm ödemeleri SGK'ya bildirin ve resmi olarak ödenmesini sağlayınız.</p> <p>It is recommended that whole payment amounts should be registered to Social Security Institution and to be paid in official manner.</p>	<p>365 GUN/DAYS</p>	<p>TAKIP DENETİM / FOLLOW UP</p>	<p>EVET / YES</p> <p>ISMAL KIVANC PASIN</p>	<p>-</p>	<p>-</p>
<p>5. Yaşam Ücreti ve Yan Haklar / Living Wages and Benefits</p> <p>(2)</p> <p>LL + ETI 6.1 + 6.2 + 6.3 + 6.4 + 6.6 + 5.3</p>	<p>YENI/NEW</p>	<p>Firmada çalışan görüşmeleri incelenen zaman ve ödeme kayıtları arasında tutarsızlık bulunmaktadır. Dolayısıyla çalışanların fazla çalışma süreleri, fazla çalışma ödemeleri ek ödemeleri ve olası kesintileri kayıtlardan doğrulanamamıştır.</p> <p>It was noted that there was inconsistency between reviewed time records and employee interviews. Therefore overtime working hours, overtime payments, additional payments</p>	<p><input type="checkbox"/> Training</p> <p><input checked="" type="checkbox"/> Systems</p> <p><input type="checkbox"/> Costs</p> <p><input type="checkbox"/> lack of workers</p> <p><input type="checkbox"/> Other – please give details:</p>	<p>Lütfen zaman ve ödeme kayıtlarını uygun şekilde tutunuz.</p> <p>It is recommended time and wage records should be kept properly.</p>	<p>60 GUN/DAYS</p>	<p>TAKIP DENETİM / FOLLOW UP</p>	<p>EVET / YES</p> <p>ISMAL KIVANC PASIN</p>	<p>-</p>	<p>-</p>

		and possible deductions of employees couldn't be verified from the records.							
5. Yaşam Ücreti ve Yan Haklar / Living Wages and Benefits (3) LL + ETI 5.2	YENI/NEW	Firmada çalışanlara ayrıntılı hesap pusulası verilmediği tespit edilmiştir.  It was noted that detailed pay slips were not given to employees.	<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:	Lütfen tüm çalışanlarınıza ayrıntılı hesap pusulası veriniz.  It is recommended that detailed pay slips should be given to all employees.	60 GUN/DAYS	TAKIP DENETİM / FOLLOW UP	EVET / YES  ISMAIL KIVANC PASIN	-	-
6. Çalışma Saatleri / Working Hours (1) LL + ETI 6.1 + 6.2 + 6.3 + 6.4 + 6.6 + 5.3	YENI/NEW	Firmada çalışan görüşmeleri incelenen zaman ve ödeme kayıtları arasında tutarsızlık bulunmaktadır. Dolayısıyla çalışanların fazla çalışma süreleri, fazla çalışma ödemeleri ek ödemeleri ve olası kesintileri kayıtlardan doğrulanamamıştır.  It was noted that there was inconsistency between reviewed time records and employee interviews. Therefore overtime working hours, overtime payments, additional payments	<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:	Lütfen zaman ve ödeme kayıtlarını uygun şekilde tutunuz.  It is recommended time and wage records should be kept properly.	60 GUN/DAYS	TAKIP DENETİM / FOLLOW UP	EVET / YES  ISMAIL KIVANC PASIN	-	-

		and possible deductions of employees couldn't be verified from the records.							
6. Çalışma Saatleri / Working Hours (2) LL +ETI 6.1	YENI/NEW	Firmada düzenli haftalık çalışma süresinin 46 saat 45 dakika olduğu tespit edilmiştir.  It was noted that weekly regular working hour of employees 46 hours 45 minutes.	<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:	Lütfen haftalık düzenli çalışma sürenizi 45 saat ile sınırlandırınız.  It is recommended that weekly regular working hours should be limited with 45 hours.	60 GUN/DAYS	TAKIP DENETİM / FOLLOW UP	EVET / YES  ISMAIL KIVANC PASIN	-	-
6. Çalışma Saatleri / Working Hours (3) LL +ETI 6.1	YENI/NEW	Firmada Cumartesi günleri 08:30 – 13:00 arası yapılan düzenli çalışmalarda çalışanlara 15 dakika mola verildiği tespit edilmiştir ve bu süre yetersizdir.  It was noted that 15 minutes break was given to employees at working practices on Saturdays between 08:30 – 13:00 and this period was not sufficient.	<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:	Lütfen 4 saati aşan çalışmalarda çalışanlarınıza en az 30 dakika dinlenme süresi veriniz.  It is recommended that at least 30 minutes break should be given to employees over 4 hours working practices.	60 GUN/DAYS	TAKIP DENETİM / FOLLOW UP	EVET / YES  ISMAIL KIVANC PASIN	-	-

**Corrective Action Plan – Observations**

Observation	New or	Details of Observation	Root cause	Any improvement actions discussed
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<b>Number</b> <i>The reference number of the observation from the Audit Report, for example, Discrimination No.7</i>	<b>Carried Over</b> <i>Is this a new observation identified at the follow-up or one carried over (C) that is still outstanding</i>	<i>Details of Observation</i>	<i>(completed by the site)</i>	<i>(Not uploaded on to SEDEX)</i>
0A. UNGP yi Kapsayan Evrensel Haklar / Universal Rights Covering UNGP  (1)  EK MADDE/ADDITIONAL ELEMENT 0.A.4	YENI/NEW	The company did not establish a system in order to measure its direct, indirect, and potential impacts on stakeholders' (rights holders) human rights. / Firma, paydaşlarının insan hakları üzerine olan direkt, dolaylı ve potansiyel etkilerini ölçmeye yönelik bir sistem geliştirmemiştir	-	-

### Good examples

<b>Good example Number</b> <i>The reference number of the non-compliance from the Audit Report, for example, Discrimination No.7</i>	<b>Details of good example noted</b>	<b>Any relevant Evidence and Comments</b>
5. Yaşam Ücreti ve Yan Haklar / Living Wages and Benefits (1)	Çalışanlara ücretsiz yemek sağlanmaktadır. Meal is provided in free of charge to employees.	Çalışan görüşmeleri, yönetim beyanı, döküman inceleme / Worker interviews, management declaration, document review
5. Yaşam Ücreti ve Yan Haklar / Living Wages and Benefits (2)	Çalışanlara ücretsiz servis sağlanmaktadır. Transportation is provided in free of charge to employees.	Çalışan görüşmeleri, yönetim beyanı, döküman inceleme / Worker interviews, management declaration, document review



## Confirmation

<p><b>Please sign this document confirming that the above findings have been discussed with and understood by you:</b> (site management)                  If actual signatures are not possible in electronic versions, please state the name of the signatory in applicable boxes, as indicating the signature.</p>		
A: Site Representative Signature:	ISMAIL KIVANC PASIN	Title: FIRMA SAHIBI / COMPANY OWNER  Date: 19.06.2017
B: Auditor Signature:	ILKER KARAKAVUK	Title: BAS DENETCI / LEAD AUDITOR  Date: 19.06.2017
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: YOKTUR/NONE		
E: Signed: (If <u>any</u> entry in box D, please complete a signature on this line)	-	-
F: Any other site Comments: YOKTUR/NONE		

## Guidance on Root Cause

### Explanation of the Root Cause Column

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

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

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

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

### Some examples of finding a "root cause"

#### Example 1

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

#### Example 2

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

#### Example 3

A site uses fines to control unacceptable behaviour of workers.

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

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

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

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

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



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

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

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