



SMETA Corrective Action Plan Report (CAPR)

Version 6.1

English and Chinese version

中英文版



Audit Details 审核细节			
Sedex Company Reference Sedex 公司参考编号: (only available on Sedex System) (仅限对 Sedex 系统有效)	ZC: 1090217	Sedex Site Reference Sedex 场所参考编号: (only available on Sedex System) (仅限对 Sedex 系统有效)	ZS: 1044881
Business name (Company name) 公司名称:	Forever Standing Stationery Co., Ltd 东莞市佛爱娃工艺品有限公司		
Site name 场所名称:	Forever Standing Stationery Co., Ltd 东莞市佛爱娃工艺品有限公司		
Site address (Please include full address) 场所地址 (请填写完整的地址):	No.2, Fuxiang Street, Hengjiao Village, Shijie Town, Dongguan 东莞市石碣镇横濠村富祥街 2 号	Country 场所所在国家:	China
Site contact and job title 场所联系人和职位:	Mr Larry Camel / President		
Site phone 场所电话:	0769-22010356	Site e-mail 场所邮箱:	sales@fssdg.com
SMETA Audit Pillars 审核模块:	<input checked="" type="checkbox"/> Labour Standards 劳工标准	<input checked="" type="checkbox"/> Health & Safety (plus Environment 2-Pillar) 健康&安全(加环境 2-模块)	<input checked="" type="checkbox"/> Environment 4-pillar 环境 4-模块
			<input checked="" type="checkbox"/> Business Ethics 商业道德
Date of Audit 审核日期:	Oct 15, 2021		

Audit Company Name & Logo: 审核公司名称及标志: 	Report Owner (payer): <i>(If paid for by the customer of the site please remove for Sedex upload)</i> 报告拥有者 (付款方): <i>(如果由场所的客户付款, 请在 Sedex 上传时删除)</i> ADM Promotions Hong Kong Ltd
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Audit Conducted By 审核主导方					
Affiliate Audit Company 关联审核公司	<input type="checkbox"/>	Purchaser 采购商	<input checked="" type="checkbox"/>	Retailer 零售商	<input type="checkbox"/>
Brand owner 品牌商	<input type="checkbox"/>	NGO 非政府组织	<input type="checkbox"/>	Trade Union 工会	<input type="checkbox"/>
Multi-	<input type="checkbox"/>	Combined Audit (select all that apply)			

stakeholder 多重利益相关方		组合审核（选择所有的适用的选项）
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Audit Content:

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

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

2-Pillar SMETA Audit

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

4-Pillar SMETA

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

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

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

审核内容:

- (1) 一个 SMETA 审核的进行包括部分或者全部的劳工标准、健康安全、环境和商业道德。SMETA 参考实践指南第 6.1 版于 2018 年 11 月实施。审核范围包括场所中全部类型的工人，包括直接员工、中介工、服务商提供的工人和其他承包商提供的工人。任何背离 SMETA 的方法（有理由的背离）都从 SMETA 声明开始。
- (2) 审核范围参考文件:
- 2-模板 SMETA 审核**
- ETI 基本准则
 - SMETA 附加
 - 涵盖 UNGP 的基本权益;
 - 管理体系和准则的实施;
 - 负责任招聘;
 - 合法劳工和移民;
 - 外发和家庭劳工。
- 4-模板 SMETA 审核**
- 2-模板的要求加上:
 - 附加模板的环境评估;
 - 附加模板的商业道德评估;
 - 客人的供应商守则（附录 1）
- (3) 当违反 ETI 准则/SMETA 附加项和当地的法规时，将作为不合规项并记录在审核报告、CAPR 和 Sedex 中。
- (4) 当任何的不合规项仅违反了客户标准时，将不被上传到 Sedex 网站，然而在 CAPR 中，这些偏差是位于 ETI 准则/SMETA 附加项/当地的法规与客户标准之间的，将会被记录为 CPAR 中的待观察项。

SMETA Declaration

SMETA 声明

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

我声明，以下报告的审核是依据 SMETA 参考实践指南和 SMETA 衡量参考进行的。

(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.

(1) 当违反 ETI 准则/SMETA 附加项和当地的法规时，将作为不合规项并记录在审核报告、CAPR 中，并上传至 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.

(2) 当任何的不合规项仅违反了客户标准时，将不被上传到 Sedex 网站，然而在 CAPR 中，这些偏差是位于 ETI 准则/SMETA 附加项/当地的法规与客户标准之间的，将会被记录为 CPAR 中的待观察项。

Any exceptions to this must be recorded here (e.g. different sample size) 任何例外情况必须记录在此处（例如，不同的样本数量）：Nil

Auditor Team(s) (please list all including all interviewers) 审核员团队（请列明包括所有访谈员在内的所有人）：Michael Ai

Lead auditor 主任审核员: Michael Ai APSCA number 编号: Nil

Lead auditor APSCA status 主任审核员 APSCA 状态: Nil

Team auditor 团队审核员: Nil APSCA number 编号: Nil

Interviewers 访谈员: Michael Ai APSCA number 编号: Nil

Report writer 报告撰写人: Michael Ai

Report reviewer 报告审核人: Winson Sze

Date of declaration 声明日期: Oct 17, 2021

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.

注：本道德审核的重点是 ETI 基本准则和当地的法规。对于附加要素将不会对其按同样的深度和范围进行审核，但在审核过程中仍然会强调任何具体问题。

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.

本报告仅提供在上述日期进行的社会审核中所发现或收集的结果与其他适用信息摘要，并没有正式确认或证明其符合任何法律法规或行业标准。社会审核需要从记录审查、员工访谈、管理访谈和目测观察项方面收集并考虑信息。社会责任审核中收集的信息比此处提供的多。审核过程只是一个抽样工作，并不能保证被审核的场所在审核之前、期间或之后完全符合审核准则。本准则的条款仅是最低标准而不是最高标准，不应该用此阻碍各公司采用更高要求的标准。使用本准则的公司应遵守国家和其它适用的法规，在法规和本准则的条款都可适用于同一问题的情况下，要以提供更大保护的条款为准。本报告的所有权仍属于已支付审核费用的一方。向第三方发布之前，必须事先由所有者提供发布权限。

Audit Parameters 审核参数

Audit Parameters 审核参数			
A: Time in and time out A: 开始和结束时间	A1: Day 1 Time in 第一天开始时间: 10:00 am A2: Day 1 Time out 第一天结束时间: 5:00 pm	A3: Day 2 Time in 第二天开始时间: A4: Day 2 Time out 第二天结束时间:	A5: Day 3 Time in 第三天开始时间: A6: Day 3 Time out 第三天结束时间:
B: Number of auditor days used: B: 审核所用天数	1 auditor used 1 day		
C: Audit type: C: 审核类型:	<input checked="" type="checkbox"/> Full Initial 完整的首次审核 <input type="checkbox"/> Periodic 周期审核 <input type="checkbox"/> Full Follow-up 完整的跟进审核 <input type="checkbox"/> Partial Follow-up 部分的跟进审核 <input type="checkbox"/> Partial Other 部分的其他审核 If other, please define 如选其他, 请给出详情:		
D: Was the audit announced? D: 是否已为通知审核?	<input checked="" type="checkbox"/> Announced 通知审核 <input type="checkbox"/> Semi – announced 半通知审核: Window detail: 周期细节: weeks 周: <input type="checkbox"/> Unannounced 不通知审核		
E: Was the Sedex SAQ available for review? E: 自我评估问卷是否可进行查看?	<input checked="" type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 E1: If No, why not 如否, 为什么不行?		
F: Any conflicting information SAQ/Pre-Audit Info to Audit findings? F: 自我评估问卷/预审核信息与审核结果之间是否存在信息矛盾?	<input type="checkbox"/> Yes 是 <input checked="" type="checkbox"/> No 否 If Yes , please capture detail in appropriate audit by clause 如果是, 请在适当的审核条款中说明详情		
G: Who signed and agreed CAPR (Name and job title) G: 由谁签署并同意 CAPR (姓名) 与职位	Mr He Dong / Administration Supervisor		
H: Is further information available (If yes, please contact audit company for details) H: 是否有可获得的更多信息 (如果是, 请联系联系审核公司获得详情)	<input type="checkbox"/> Yes 是 <input checked="" type="checkbox"/> No 否		
I: Previous audit date: I: 前一次审核日期:	N/A		
J: Previous audit type: J: 前一次审核类型:	N/A		

K: Were any previous audits reviewed for this audit K: 在此审核之前是否有过其它的审核评估?	<input checked="" type="checkbox"/> Yes 是 <input type="checkbox"/> No 否 <input type="checkbox"/> N/A 不适用
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Audit attendance 审核出席人员	Management 管理人员	Worker Representatives 工人代表	
	Senior management 高级管理人员	Worker Committee representatives 工人委员会代表	Union representatives 工会代表
A: Present at the opening meeting? A: 是否出席在开始会议?	<input checked="" type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
B: Present at the audit? B: 是否出席在审核中?	<input checked="" type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
C: Present at the closing meeting? C: 是否出席在结束会议?	<input checked="" type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否	<input type="checkbox"/> Yes 是 <input type="checkbox"/> No 否
D: If Worker Representatives were not present please explain reasons why (only complete if no worker reps present) D:如果工人代表未出席, 请说明未出席的理由: (只有工人代表未出席的情况下才填此项)	1 trade union representatives were present during audit.		
E: If Union Representatives were not present please explain reasons why: (only complete if no union reps present) E:如果工会代表未出席, 请说明未出席的理由: (只有工会代表未出席的情况下才填此项)	N/A		

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.

指导:

纠正措施计划报告对场所审核结果和纠正和预防行动计划进行总结，审核员和场所经理认为该纠正措施计划报告是可以合理确保符合英国道德贸易联合（ETI）标准、当地法律和其他审核要求。进行初步审核后，该表格被用于重新记录行动和对不合规项的状态进行分类。

注意：在总结会议上应指出观察项和良好示例及对不合规项和纠正措施进行讨论。

为确保向供应商强调良好示例及做出更“均衡的”审核，纠正措施计划报告文件中有一段是用来记录这些内容的（参见下文），供应商将保留该文件。在收到审核报告时会对此进行进一步的确认。

Root cause (see column 4)

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

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

根本原因（查看第4列）

根本原因是指导致问题发生的具体程序或所缺失的程序。在纠正行动能持续地改正这种情况前，找出不合规项的真正原因及为确保未来问题不会再发生确定是否需要体系变更是很重要的。

想要更多地了解“根本原因”，请参见 SMETA 最佳实践指南第七章审核执行部分。

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).

接下来的步骤:

1. 场所应通过 Sedex 要求审核机构上传审核报告、不合规项、观察项和良好示例。若您未收到有关如何进行此项操作的指示，请访问 www.sedexglobal.com 网站。

2. 场所应通过 Sedex 对不合规项采取行动及把进度记录到文档中。
3. 一旦场所通过其行动取得了有效的进展，其应通过 Sedex 要求审核机构核实其行动。关于如何进行此项操作，请访问 www.sedexglobal.com 网站。
4. 审核机构可以通过 Sedex 的桌面审核过程或跟进审核对场所采取的纠正措施进行审核（见第 5 点）。
5. 不能通过“桌面”审核进行关闭的某些不合规项可能需要通过“1 天跟进审核”进行关闭，费用为正常收费费率。若发生这种情况，在场所提交与不合规项有关的证明文件后对场所进行通知。在任何初步审核发生后 12 个月内必须进行跟进审核，且在签署行动计划时必须要有初步审核的信息。
6. 为正确证实工资和工时的变更，通常需要一次后续场所访问。审核员通常会要求见到至少能显示新费率的两个月的工资和工时记录，以证实变更（注：有些客户可能要求更长期限的，如有疑问，请与客户核

Corrective Action Plan 纠正措施计划

Corrective Action Plan – non-compliances 纠正措施计划 - 不合规项										
Non-Compliance Number <i>The reference number of the non-compliance from the Audit Report, for example, Discrimination No.7</i> 不合规项号码 <i>No. 7 审核报告中的不合规项参考号码, 例如, 歧视 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> 新出现或继续存在 <i>是跟进审核中发现的新出现不合规项还是仍然未解决而继续存在的(C)不合规项</i>	Non-Compliance classified as(minor / major/ critical zero tolerance) 不合规项分类 <i>(轻微/主要/关键/零容忍)</i>	Details of Non-Compliance <i>Details of Non-Compliance</i> 不合规项详情 <i>不合规项详情</i>	Root cause <i>(completed by the site)</i> 根本原因 <i>(由场所完成)</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> 预防及纠正措施 <i>消除不合规项应采取的具体措施以及为防止再次发生要做的体系更改(场所与审核员达成一致)</i>	Timescale <i>(Immediate, 30, 60, 90,180,365)</i> 时间范围 <i>(立即、30、60、90、180、365)</i>	Verification Method <i>Desktop / Follow-Up [D/F]</i> 验证方法 <i>[桌面/跟进(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> 管理人员同意及负责人姓名: <i>记录管理人员是否同意不合规项并记录负责人的姓名</i>	Verification Evidence and Comments <i>Details on corrective action evidence</i> 验证证据及评论 <i>纠正措施的具体证据</i>	Status <i>Open/Closed or comment</i> 状态 <i>开放/关闭/评论</i>
No.3 Safety and Hygienic Conditions	New 1	Minor	During facility tour, auditor found that Insufficient water pressure of eye washer on 1/F production workshop..	<input type="checkbox"/> Training 培训 <input checked="" type="checkbox"/> Systems 系统 <input checked="" type="checkbox"/> Costs 成本 <input type="checkbox"/> lack of workers 缺少工人 <input type="checkbox"/> Other – please give details 其他 - 请给出详情:	It is recommended that facility should to keep the eye washer in sufficient water pressure.	90	Desktop	Mr He Dong / Administration Supervisor		
	New 2	Minor	Through document review, auditor found that elevator administrator's	<input type="checkbox"/> Training 培训 <input checked="" type="checkbox"/> Systems 系统 <input checked="" type="checkbox"/> Costs 成本 <input type="checkbox"/> lack of workers	It is recommended that all those workers should obtain proper licenses.	90	Desktop	Mr He Dong / Administration Supervisor		

			certificate has expired.	缺少工人 <input type="checkbox"/> Other – please give details 其他 - 请给出详情:						
	New 3	Minor	Through document review, auditor found that some staff working in the kitchen did not have the health certificate.	<input type="checkbox"/> Training 培训 <input checked="" type="checkbox"/> Systems 系统 <input checked="" type="checkbox"/> Costs 成本 <input type="checkbox"/> lack of workers 缺少工人 <input type="checkbox"/> Other – please give details 其他 - 请给出详情:	It is recommended that the factory should require the staff working in the kitchen to pass the health examination and obtain a health certificate.	90	Desktop	Mr He Dong / Administration Supervisor		
No.5 Wages & Benefits	New 4	Major	The supplier did not provide the social insurances to all workers, Through document review, auditor found that in August 2021, 26 out of 69 employees were provided with employment injury insurance, pension insurance, unemployment insurance, medical insurance and maternity insurance.	<input type="checkbox"/> Training 培训 <input checked="" type="checkbox"/> Systems 系统 <input checked="" type="checkbox"/> Costs 成本 <input type="checkbox"/> lack of workers 缺少工人 <input type="checkbox"/> Other – please give details 其他 - 请给出详情:	It is recommended that 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	Desktop	Mr He Dong / Administration Supervisor		
No.6 Working Hours	New 5	Major	Through document review, auditor found that the monthly overtime hours of 10 out of 10 randomly selected workers ranged was 72 hours in August 2021.	<input type="checkbox"/> Training 培训 <input checked="" type="checkbox"/> Systems 系统 <input checked="" type="checkbox"/> Costs 成本 <input type="checkbox"/> lack of workers 缺少工人 <input type="checkbox"/> Other – please give details 其他 - 请给出详情:	It is recommended that the factory should reduce the overtime hours to ensure it is within 3 hours per day and 36 hours per month.	90	Desktop	Mr He Dong / Administration Supervisor	Base on CAPR and provided by the factory	

Corrective Action Plan – Observations
纠正措施计划—观察项

Observation Number <i>The reference number of the observation from the Audit Report, for example, Discrimination No.7</i> 观察项号码 <i>No. 7 审核报告中的观察项参考号码, 例如, 歧视 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> 新出现或继续存在 <i>是跟进审核中发现的新出现待观察项还是仍然未解决而继续存在 (C) 的待观察项</i>	Details of Observation <i>Details of Observation</i> 观察项详情 <i>观察项详情</i>	Root cause <i>(completed by the site)</i> 根本原因 <i>(由场所完成)</i>	Any improvement actions discussed <i>(Not uploaded on to SEDEX)</i> 是否讨论过改善措施 <i>(没有上传到 SEDEX)</i>
Nil	N/A	N/A	N/A	N/A

Good examples 良好示例

Good example Number <i>The reference number of the good example from the Audit Report, for example, Discrimination No.7</i> 良好示例号码 <i>审核报告中良好示例的参考号码, 例如歧视 7</i>	Details of good example noted 发现的良好示例的详情	Any relevant Evidence and Comments 相关证据及评论
N/A	N/A	Nil

Confirmation 确认

<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> <p>请签署本文件，确认已讨论并理解以上审核发现：（场所管理人员） <i>如果实际签名不能采用电子签名的形式，请在相应的签字表格内注明签字人的姓名。</i></p>		
<p>A: Site Representative Signature: A: 场所代表签字</p>	<p>He Dong</p>	<p>Title 职位: Administration Supervisor Date 日期: Oct 15, 2021</p>
<p>B: Auditor Signature: B: 审核员签字</p>	<p>Michael Ai</p>	<p>Title 职位: Auditor Date 日期: Oct 15, 2021</p>
<p>C: Please indicate below if you, the site management, dispute any of the findings. No need to complete D-E, if no disputes. C: 如果您（管理人员）质疑任何审核发现，请在以下说明。如果没有质疑，则无需填写D-E 部分的内容。</p>		
<p>D: I dispute the following numbered non-compliances: D: 我质疑以下号码的不合规项: Nil</p>		
<p>E: Signed: (If <u>any</u> entry in box D, please complete a signature on this line) E: 签字 (如果在D 部分的表格内有任何说明，请在该行签字。)</p>		<p>Title 职位: Date 日期:</p>
<p>F: Any other site Comments: F: 场所的其他意见: N/A</p>		

Guidance on Root Cause 根本原因指导

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.

根本原因栏解释

如果一个不合规项需要用纠正措施进行纠正，并防止其再次发生，那么有必要考虑是否需要进行一个体系更改。

如果场所要防止问题再次发生，理解不合规项的根本原因很有必要。

根本原因涉及到具体的行为/程序或行为/程序的缺失，从而引起不合规项的产生。在使用纠正措施纠正问题之前，找出不合规项的根本原因并确定是否需要体系更改来保证问题在将来不会再次出现，这一点很重要。

因为这是新增内容，因此这次不强制要求完成本栏。我们希望鼓励审核员和场所思考根本原因以及在双方可以达成一致的方面，本栏可以用于描述双方的讨论。

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.

找到“根本原因”的一些示例

示例 1

对于发现的超时现象，要明白需要超时的真实原因，是否是由于生产计划、操作瓶颈、操作员培训不充分、获知情况延误，等等。

示例 2

发现的不符项可能是因为没有使用已经提供给他们 PPE。这可能是因为没有得到充分的培训，所以没有明白使用 PPE 的需要；一套合理场所规章对应的监管者缺少跟进或者工人感觉其生产率（以及相应的潜在收入）受到物品（例如金属手套）使用的影响的事实。

示例 3

场所运用罚款来控制工人不可接受的行为。

国际标准（以及多数当地法律）可能要求工人不应由于纪律原因被罚款。

立即停止罚款可能比较困难，因为场所规章可能已经实施一段时间，但是为了防止不符项再次发生，将有必要进行体系更改。

征兆是罚款，但根本问题是管理体系可能违法。为了防止问题再次发生，有必要进行体系更改，例如场所可以考虑奖励良好行为的体系。

只有理解潜在的原因才能采取有效的纠正措施来保证持续的符合。

鼓励场所完成本部分以说明场所对所提出问题的理解以及将要采取的行动。



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

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

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