



management system in line with the requirements of the standard and demonstrated the ability of the system to systematically achieve agreed requirements for products or services within the scope and the organization's policy and objectives.

Number of nonconformities identified : __ Nil __ Critical __ Nil __ Major __ 3 __ Minor __ Nil __ TB

Therefore the audit team recommends that, based on the results of this audit and the system's demonstrated state of development and maturity, management system certification be:

Granted / Continued / Withheld / Suspended until satisfactory corrective action is completed.

4. Previous Audit Results

The results of the last audit of this system have been reviewed, in particular to assure appropriate correction and corrective action has been implemented to address any nonconformity identified. This review has concluded that:

<input type="checkbox"/>	In case of certification audit, Stage 1 critical audit findings have been appropriately addressed (refer to Section 6 for details)
<input checked="" type="checkbox"/>	Any nonconformity identified during previous audits has been corrected and the corrective action continues to be effective. (Refer to Section 6 for details)
<input type="checkbox"/>	The management system has not adequately addressed nonconformity identified during previous audit activities and the specific issue has been re-defined in the nonconformity section of this report.

5. Audit Findings

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives. The audit methods used were interviews, observation of activities and review of documentation and records.

The management system documentation demonstrated conformity with the requirements of the audit standard and provided sufficient structure to support implementation and maintenance of the management system. Yes No

The organization has demonstrated effective implementation and maintenance / improvement of its management system and is capable of achieving its policy objectives. Yes No

The organization has demonstrated the establishment and tracking of appropriate key performance objectives and targets and monitored progress towards their achievement. Yes No

The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system. Yes No

The management review process demonstrated capability to ensure the continuing suitability, adequacy and effectiveness of the management system. Yes No

Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard. Yes No

Certification claims are accurate and in accordance with SGS guidance and the organization is effectively controlling the use of certification documents and marks. N/A Yes No

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6. Significant Audit Trails Followed

The specific processes, activities and functions reviewed are detailed in the Audit Planning Matrix and the Audit Plan. In performing the audit, various audit trails and linkages were developed, including the following primary audit trails, followed throughout:

- Relating to Previous Audit Results / Stage 1 Audit :
There is no non conformance identified during last Surveillance Visit 5.
- Relating to this Audit; including any significant changes (eg: to key personnel, client activities, management system, level of integration, etc.):
There is no significant changes to key personnel, client activities and management system

Overview Tour Have any changes from stage 1 audit been identified ? If positive leave a description	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Have potentially hazardous areas of work been identified ?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Have any major structural problems, that are clearly evident, been identified ?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Is CB and SAAS contact information available and listed in a prominent place at the certified organization ? Pls indicate location	Yes at the notice board near the main gate
Have potential candidates for interviews been identified ?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
SA8000 Standard The organization has openly displayed a copy of the SA8000 standard ? Pls indicate location	__ Yes at the notice board near the main gate
Contact cards Has the Lead Auditor given contact cards randomly to workers during site tour ?	<input checked="" type="checkbox"/> Yes
Has the Lead Auditor, during interviews, given to interviewed workers in addition to his/her contact card also information about SAAS contact details for complaints/communications?	<input checked="" type="checkbox"/> Yes
Interviews and relevant Records Number of interviewed workers	
Have the files of all individual employees interviewed been reviewed in detail ? If not a justification shall be provided	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are the requested additional workers files been reviewed ? If not a justification shall be provided	<input checked="" type="checkbox"/> Yes How many ?2
How many workers have been interviewed individually ?	__ 3
How many workers have been interviewed in groups ?	__ 2(1 group of 2)

How many hours have effectively been spent in interviews?	1.5
If client based in a highest risk country, have off-site interviews been undertaken (min. 2 max 10 workers) ?	<input type="checkbox"/> Yes How many ? _____ <input checked="" type="checkbox"/> N/A
To ensure that different individuals are interviewed during subsequent audits has a list of interviewees been maintained and included in the audit package?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
During management interviews, have the general thoughts of the personnel with respect to the implementation of the SA8000 management system been established ? Was all information reported in the pre-audit questionnaire (or CDS/SSC) checked to confirm if still current and accurate ?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
During general personnel interviews (including staff and junior managers, first aiders, fireman) have the general thoughts and awareness with respect to the implementation of the SA8000 management system been established ?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
During worker representative(s) interviews, have the thoughts of the workers repr. with respect to the implementation of the SA8000 management system been established? How was/were the worker representative(s) elected? Any Collective Bargaining Agreement in place in the organization ?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Have interviews with the members of the SPT been conducted ?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
During on-site subcontract labour and suppliers interviews have the general thoughts and awareness been established? Has the existence of migrant, temporary, contract and homeworker labourers and particular questions on those situations been identified ? Was the understanding of their employer's SA8000 mangement system confirmed ? Were the organizations' working hours verified and corroborating evidence obtained ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A

Photographs, taken of :	
1. SA8000 Standard(s)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
2. Evacuation exits	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Organization building/premises	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

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4. Evacuation drills or records of the same	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
5. Work floor(s)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
6. Warehouse	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A
7. Dormitory	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A
8. Supporting facilities (e.g. sewage treatment, boiler, generator)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A
9. Canteen	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A
10. Attendance record system	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
11. Chemical storage area	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A
12. Work-in-progress	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
13. Personal protective equipment	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A
14. H&S non compliances (if any)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
15. Fire fighting equipment	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
16. Best practices (if any)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
17. All organization's documents reviewed as a part of the management systems	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Has Client refused permission to take photographs :	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Management Review	
Did last Management Review cover following issues ?	
Policies, procedures and records	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Social Performance Team SPT	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Identification and assessment of risks	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Monitoring – included results of internal audits to ascertain the organization's general conformity with the SA8000 standard and Performance Indicator Annex	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Internal involvement and communication	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Complaint management and resolution	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
External verification and stakeholder engagement	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Corrective and preventive actions	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Training and capacity building	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Management of suppliers and contractors	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Shifts, where applicable	
Initial certification shall include the auditing of all shifts; pls indicate applicable shift :	
Morning – to be audited between 09.00 and 17.00	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Afternoon – to be audited between 19.00 and 22.00	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Night – to be audited between 00.00 and 03.00	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Twilight – to be audited between 18.00 and 21.00	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Has the auditor daytime hours been shortened to perform the remaining hours for the audit during night shift?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

SOCIAL FINGERPRINT

Self-Assessment (SA) score and date	3.2 and 15/11/2016
Independent Evaluation (IE) score and date	3 and 13/12/2018

Section A

Verification on the number of personnel covered by the scope. Changes occurred since last audit	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Changes in the Organization's SA8000 management system	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Changes in the organizational structure	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Any significant activities of the Worker Representative(s) since the previous audit (if any)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Update of the client's SA8000 audit records	<input checked="" type="checkbox"/> Done
A site tour of facilities shall be mandatory on every on-site audit	<input checked="" type="checkbox"/> Done <input type="checkbox"/> Not done

Section B

	Judgement of compliance
Has the Management Review of the SA8000 management system been verified? Have results of internal audits and corrective actions been considered in Management Review?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Has response system to any complaints/grievances received been verified?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Worker training and workers awareness and understanding of the client's SA8000 system in place	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Worker training and workers awareness and understanding of the client's H&S system in place	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Effectiveness of the root cause analysis, corrective and preventive action taken as a result of non-conformities raised during the previous audit(s) by the CB	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Progress made against any time-bound non-conformities	<input type="checkbox"/> Yes <input type="checkbox"/> No
Effectiveness of the health and safety management system in place, including number of incidents since the previous audit and analysis of any fatalities, any serious accidents, and any potentially hazardous events including fires, spills of toxic chemicals, explosions	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Analysis of working hours and remuneration (including during high season, if any) since the previous audit	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Comparison between in the CB's calculated current living wage and the process and number that is calculated by the certified organization	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Use of claims made by the client about their SA8000 certified status	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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including the use of CB and SAAS SA8000 mark	
Confirmation that the SA8000 standard is posted prominently in all the required locations	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Section C

	Judgement of compliance
Child Labour Not Audited during this Surveillance Audit.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Forced or compulsory labour Not Audited during this Surveillance Audit.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Health and safety	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 2 Minor NC
Freedom of association & right to collective bargaining	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Discrimination	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Disciplinary practices	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Working hours	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Remuneration	<input type="checkbox"/> Yes <input type="checkbox"/> No
Management system : Policies, procedures and records	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Social Performance Team SPT	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Identification and assessment of risks	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Monitoring	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Internal involvement and communication	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Complaint management and resolution	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
External verification and stakeholder engagement	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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Corrective and preventive actions	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Training and capacity building	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 1 Minor NC
Management of suppliers and contractors	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

7. Nonconformities

NonConformity	N° <u>1</u> of <u>3</u>	<input type="checkbox"/> Critical	<input type="checkbox"/> Major	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> TB
Department / Function:	Health & Safety	Standard item and description.:3.1			
Additional reference to applicable law/regulation/normative document :					
Details of Nonconformity:	<p>Organisation's Health and Safety management system in Legal License renewal Process is not aequate.</p> <p><u>Objective evidence:</u></p> <p>During review of legal documents following deviations observed :</p> <p>a. Organization has printing & ETP process inside the audited premises.West Bengal PCB Consent to operate under section 25 & 26 of water and section for Air No : CO79220 Dated 13 Feb 2018 has not renewed including these process.</p> <p>b. There is no valid Fire NOC in place,Applied for renewal dated 4 May 2018.</p>				

NonConformity	N° <u>2</u> of <u>3</u>	<input type="checkbox"/> Critical	<input type="checkbox"/> Major	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> TB
Department / Function:	Health & Safety	Standard item and description.:3.5			
Additional reference to applicable law/regulation/normative document :					
Details of Nonconformity:	<p><u>Observed Nonconformity –</u></p> <p>Organisation's Health and Safety management system in respect of Hazard Identification and Risk Assessment process, monitoring of workplace health and Safety, further control measures of identified risks are not effectively implemented found inadequate.</p> <p><u>Objective evidence:</u></p> <p>During the site visit the following health and safety deviations observed :</p> <p>a. 7 out of 9 randomly tested emergency Lights provided with Illuminated exits signs near exits and emergency exit doors found not working.</p> <p>b. Risk assessment for ETP & Printing Process not done.</p> <p>c. Audiometry & PFT test not conducted for employees working in weaving section.</p>				

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	d. Mock drills conducted dated 7.9.2018 at 9.30 am for first and general shift employees ,where as not conducted during night shifts.
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NonConformity	N° <u>3</u> of <u>3</u>	<input type="checkbox"/> Critical	<input type="checkbox"/> Major	<input checked="" type="checkbox"/> Minor	<input type="checkbox"/> TB
Department / Function:	Management System- Training and Capacity Building	Standard item and description.: 9.9			
Additional reference to applicable law/regulation/normative document :					
Details of Nonconformity:	<p>Observed Nonconformity – Organisations' management system in respect to maintain records of the training plan and its implementation is not effective and periodically not measured the effectiveness of training and recorded their nature and frequency.</p> <p>Objective evidence: Effectiveness of Training provided to employees is not measured that 50% of employees were not aware about the SA 8000 standards.</p>				

NonConformity	N° ____ of ____	<input type="checkbox"/> Critical	<input type="checkbox"/> Major	<input type="checkbox"/> Minor	<input type="checkbox"/> TB
Department / Function:		Standard item and description.:			
Additional reference to applicable law/regulation/normative document :					
Details of Nonconformity:					

Client Proposed Action to Address Minor Non-Conformances Raised at this Audit:
<ul style="list-style-type: none"> Corrective action plan submitted by the facility for the non conformance identified during this surveillance audit.Effectiveness will be verified during next visit..
Nonconformities detailed here shall be addressed through the organization's corrective action process, in accordance with the relevant corrective action requirements of the audit standard and shall include actions to analyse the cause of the nonconformity and prevent recurrence, and complete records maintained

Describe where the team proposes accepting a deviation from the wages provision of the standard and raised **TB non-conformities** :Not identified.

- 1 Corrective actions to address identified critical nonconformities shall be carried out immediately **including a cause analysis**, and SGS notified of the actions taken within 7 days. An SGS auditor will perform a **follow up visit** within 30 days to confirm the actions taken, evaluate their effectiveness, and determine whether certification can be granted or continued.
- 2 Corrective actions to address identified major nonconformities shall be carried out immediately **including a cause analysis**, and SGS notified of the actions taken within 30 days. An SGS auditor will perform a **follow up visit** within 90 days to confirm the actions taken, evaluate their effectiveness, and determine whether certification can be granted or continued.

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- 3 Corrective actions to address identified major nonconformities shall be carried out immediately **including a cause analysis**, and records with supporting evidence sent to the SGS auditor for close-out within 90 days (where a remote review of documented evidence has been determined by the auditor).
- 4 Corrective Actions to address identified minor non conformities **including a cause analysis**, shall be documented on a action plan and sent by the client to the auditor within 60 days for review. If the actions are deemed to be satisfactory they will be followed up at the next scheduled visit (180 days)
- 5 Corrective Actions to address identified minor non-conformities **including a cause analysis**, have been detailed on an action plan and the intended action reviewed by the Auditor, deemed to be satisfactory and will be followed up at the next scheduled visit.
- 6 Appropriate cause analysis and immediate corrective and preventive action taken in response to each non-conformance as required.
- 7 Corrective Actions to address identified time-bound non conformities (TB) including a cause analysis, shall be documented on a action plan and sent by the client to the auditor **within 60 days for review**. If the actions are deemed to be satisfactory **they will be followed up the next scheduled visits up to 24 months (maximum Corrective Action timeline for complete implementation)**.

Note:- Initial, Re-certification and Extension audits – recommendation for certification cannot be made unless check box 5 is completed. For re-certification audits the time scales indicated may need to be reduced in order to ensure re-certification prior to expiry of current certification.

Note: At the next scheduled audit visit, the SGS audit team will follow up on *all* identified nonconformities to confirm the effectiveness of the corrective actions taken.

8. General Observations & Opportunities for Improvement

The findings of the previous audits have been verified and analysed by referring APM document for areas of NCs identified in the earlier visits. Non conformance was not identified during the last surveillance audit V5.

In this audit the health & safety components found adequately maintained. The planning of the audit has been made to understand the processes in depth to all the areas where non conformity raised during the previous surveillance audits. 3 minor Non conformance has been identified during this surveillance audit V6.

The area for improvement is to review and revise agenda for H & S committee & SPT to function it more effective. Internal audit checklist may be filled with detailed evidences for the compliance to the requirements. Stakeholder identification and engagement process may be improved further.

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Photo Form :

		
<p>NC: Exit not Illuminated and Emergency Light Not Working.</p>	<p>HIRA not done for printing process</p>	

		<p>NA</p>
<p>HIRA Not done for ETP process.</p>		



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Audit Plan

Organization:	[REDACTED]				
HQ Address:	[REDACTED]				
Locations to be audited (except in the case of multi-site sampling):	-				
Organisation main contact :	[REDACTED]				
SA8000 Management Representative : (if different from Organisation main contact)	[REDACTED]				
Visit Number:	6	Actual Visit Date:	12 & 13 Dec 2018		
Visit Due by Date:	27/11/2018	For auditor information only			
Lead Auditor:	M.Savithri				
Team Member(s):	-				
Additional Attendees and Roles (Experts, Translators, Supervisors, SAAS auditors, others)	-				
Standard(s):	SA8000:2014				
Audit site demographics :	Total number : 248	Gender : M-219 F-29	Workers/Blue collars:-	Managers/White collars: -	Contract service suppliers:-
Shifts operated and to be audited:	3 Shift				
Audit Language:	English/Hindi				
Audit Scope:	Manufacture and Supply of Jute,Cotton and Allied Fibre Products				

Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.

Date	Time	Auditor	Area / Department / Process / Function	Key Contact	As audited (to confirm the path and sequence of each audit activity)
12 Dec 2018	3.00 Pm	MS	Arrival at the site -1	-	
	3.30 Pm 4.00 PM	MS	Opening Meeting	All	
	4.00 Pm 5.30 Pm	MS	Tour of site – Production Floors, Administration block, Genset Area, Toilets, Rest rooms, Crèche, Security area,ETP & Priting Area	[REDACTED] [REDACTED] [REDACTED]	Done
	5.30 Pm 6.30 Pm		Individual workers interview		
	6.30 Pm 7.00 Pm		Briefing with the management and closing for the day	All concerned	

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Date	Time	Auditor	Area / Department / Process / Function	Key Contact	As audited (to confirm the path and sequence of each audit activity)
13 Dec 2018	09.00 Am		Health and Safety documentation including legal	██████████	Done
	10.00 Am		Group focus Interview (1 Group of 2)		
	10.30 Am		FOA & CB, Discrimination, Disciplinary Action	██████████	Done
	12.30 Pm		Remuneration and working hours	██████████	Done
	1.30 Pm		Lunch		
	2.00 Pm		Interaction with top management	██████████	Done
	2.30 Pm		Management System(Interaction with SPT members, Usage of Logo, Grievance Procedure etc)	██████████	Done
	3.00Pm		Independent Evaluation	-	Done
	3.30 Pm		Auditors review and report writing	-	
	6.00 Pm		Closing meeting	All concerned	

Notes to Client:

- Senior Management Representative(s), Worker Representative(s), Trade Union Representative(s), SPT Team member(s), SHALL attend the Opening and Closing meeting
- Senior Managements Representative(s), as applicable, SHALL include Health & Safety Rep., HR Manager, Payroll Manager, Production schedules, time and attendance monitoring and labor & ethics/social accountability Compliance Officers
- [Enclosed SGS SA8000 Anti Bribery Policy \(GP3729\)](#)
- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation
- A private place for preparation, review and conferencing is requested for the auditor's use
- Please provide a light working lunch on-site each audit day
- Your contract with SGS is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements
- Any valid objection for the appointment of any particular audit team member SHALL be promptly notified to SGS upon receipt of this Audit Plan

LIST of documents to prepare for the audit:

This list is not exhaustive and SGS Auditors reserve the right to ask for additional documents depending on the results of on-site investigation

General	MA/Renewal	Surveillance
Business license	√	
Organization chart	√	√
Layout drawing/plan of premises that includes all buildings and floors and canteen, dormitory, clinic and crèche and all other employer-provided worker service facilities as appropriate (including any areas under construction or renovation)	√	
Employee manual / Factory rules and regulations	√	
Any previous labor, ethics and other similar second and third party audit reports (within the previous 3 years)	√	√ (if any updating)
1. Child labor & Young worker		
Child labor prohibition policy	√	
Recruitment Procedure	√	
Personal documents of worker (ID card, birth certificate, education certificate)	√	√
Remedy action plan / remediation procedure	√	
Young worker protection policy	√	

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Young worker registration approval from labor bureau (if present and as applicable)	√	√
Annual health examination report (if present and as applicable)	√	√
2. Forced labor		
Security regulation/job description	√	
Security guard certificate(s)	√	
Security guard's contract / Contract of security guard company	√	
Overtime working arrangement	√	
Security guards work schedule	√	√
3. Health and safety		
Health and safety policy	√	
Health and Safety Risk Assessment/HIRA	√	√
Health and Safety Committee, Organization Chart, H&S relevant C&P action records	√	√
Health and safety training program & records	√	√
Accident/injury report and records	√	√
Building structure safety / Real estate certificate	√	
Approval document of temporary building/construction (as applicable)	√	
Building fire safety certificate (as applicable)	√	
Fire inspection procedure & records	√	√
Fire evacuation plan	√	
Fire drill records / program	√	√
Noise , Air Quality, etc. testing / monitoring report	√	
PPE safety certificate	√	
Register & Annual Report of pressure vessels, boiler, lifting facilities, etc.	√	√
Operator / Attendant Certificate	√	
Approval certificate of chemical warehouse (as applicable)	√	
Register / record of chemical goods / Dangerous chemicals inventory (as applicable)	√	
MSDS of dangerous chemical	√	
Kitchen/canteen hygiene certificate	√	
Kitchen/canteen workers health certificate	√	
Drinking water quality certificate or records	√	
Water tank Cleaning records	√	√
First aid kits and maintenance records	√	√
Trained first aider	√	√
Worker Health Certificates	√	√
Electricity inspection report	√	√
4. Freedom of association		
Freedom of collective bargaining policy	√	
Meeting minutes of union (if present)	√	
Union agreements	√	
List of worker's representative(s)	√	
Selection program of worker's representative(s)	√	
Activity records of union (as applicable)	√	√
Approval of Government union member (as applicable)	√	
Government Union Member List (as applicable)	√	
5. Discrimination		
Non-discrimination policy	√	
Recruitment Policy	√	
6. Disciplinary practice		
Disciplinary practices policy / procedure	√	
Disciplinary practices records	√	√

7. Working hours		
Working hours schedule	√	√
Time card / attendance records	√	√
Consolidated working hours permit (as applicable)	√	√
8. Compensation		
Wage / promotion policy & calculation method	√	
Organization Living Wage Calculation (adjusted to gross or net)	√	√
Legally required minimum wage (lowest wage permitted by law or by a special agreement such as one with a labor union)	√	√
Lowest wage paid to any employee in the organization	√	√
Over time payment policy	√	
Payroll records	√	√
Meal / dormitory allowance (as applicable)	√	
Local official document of insurance scheme	√	
Social security payment evidence	√	√
Labor contracts	√	√
9. Management System		
Policy of Social Accountability and Labor Conditions	√	
Procedures list	√	√ (when updated)
Management review records	√	√ (when updated)
SPT procedures (roles of its members, time commitment and their functions)	√	√ (when updated)
Worker representative(s) election records	√	√ (when updated)
Risk assessment procedure and records	√	√ (when updated)
SPT Monitoring records	√	√ (when updated)
Grievance procedure	√	√ (when updated)
C&P Procedure and records	√	√
Internal Audit	√	√ (when updated)
Social system training plan and records	√	√ (when updated)
Supplier /subcontractors/private employment agencies due diligence procedure	√	
Selection Method and Monitoring evidences of subcontractors / suppliers	√	√ (when updated)
Home worker protection	√	
Sub-contractor Contracts	√	
Outside communication procedure	√	
Communication records with external parties	√	

Audit Plan

Organization:	[REDACTED]				
HQ Address:	[REDACTED]				
Locations to be audited (except in the case of multi-site sampling):	-				
Organisation main contact :					
SA8000 Management Representative : (if different from Organisation main contact)	--				
Visit Number:	V1R	Actual Visit Date:	TBC		
Visit Due by Date:	14 June 2019	For auditor information only			
Lead Auditor:	TBC				
Team Member(s):	--				
Additional Attendees and Roles (Experts, Translators, Supervisors, SAAS auditors, others)					
Standard(s):	SA8000:2014				
Audit site demographics :	Total number :	Gender :	Workers/Blue collars:	Managers/White collars:	Contract service suppliers:
Shifts operated and to be audited:					
Audit Language:					
Audit Scope:	Manufacture and Supply of Jute,Cotton and Allied Fibre Products				

Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.

Date	Time	Auditor	Area / Department / Process / Function	Key Contact	As audited (to confirm the path and sequence of each audit activity)
Day 1	08:45	A1 & A2	Arrival at Site	--	--
	09.00	A1 & A2	Opening Meeting	--	--
	09.30 – 10.30	A2	Tour of site – Production Floors, Utilities, Rest rooms,Dining hall, Crèche, Security area	--	--
	09.30 – 11.00	A1	Onsite health & Safety assessment – Production floors, Utilities, Rest rooms, Dining hall, Toilets, Crèche, Security area, medical centre- Review of HIRA	--	--
	10.30 – 12.30	A2	Workers interview – Individual 1 to 6	--	--
	11.00 – 12.30	A1	Health & Safety Documents & Records review & Legal Requirements	--	--
	12.30 –	A1 & A2	Lunch	--	--

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Date	Time	Auditor	Area / Department / Process / Function	Key Contact	As audited (to confirm the path and sequence of each audit activity)
	13.00				
	13.00-14:30	A2	Workers Interview – Group I,II & III	--	--
	13.00-14.00	A1	Interaction with H & S committee members	--	--
	14.30-15.30	A2	Child Labour-Policy, Personal File, Child Remediation Plan , Age proof records, etc.	--	--
	14.00-15.00	A1	Forced Labour- Security measures, Terms of employment, Recruitment Procedures & Policy etc.	--	--
	15.30-17.00	A2	Working hours ,Review of living wages & Remuneration	--	--
	15.00 – 16.00	A1	Freedom of Association & Right to Collective Bargain	--	--
	16.00 – 17.00	A1	Interaction with social performance team members	--	--
	17.00 – 17.30	A1 & A2	Review & Briefing of Day 1	--	--
Day 2	08.45	A1 & A2	Arrival at Site	--	--
	09.00 – 10.30	A2	Discrimination	--	--
	09.00 – 11.30	A1	Management Systems (Review of SA8000 Manual, Legal compliance, Social Performance Team , Identification and Assessment of Risks ,Monitoring,Internal Audit, Corrective and Preventive Actions including those of previous audit , MRM, Complaint Management and Resolution , Management of Suppliers and Contractors, External Verification and Stakeholder Engagement, training and Capacity Building)	--	--
	10.30-12.00	A2	Disciplinary Practice	--	--
	11.30-12.00	A1	Interaction with management employees	--	--
	12.00-12.30	A1 & A2	Top Management	--	--
	12.30-13.00	A1 & A2	Lunch	--	--
	13.00-14.00	A1 & A2	Independent Evaluation	--	--
	14.00-17.00	A1 & A2	Review of Audit findings & Report preparation	--	--
	17.00-17.30	A1 & A2	Closing Meeting – Audit result & outcome of the SF independent	--	--

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Date	Time	Auditor	Area / Department / Process / Function	Key Contact	As audited (to confirm the path and sequence of each audit activity)
			evaluation		

Notes to Client:

- Senior Management Representative(s), Worker Representative(s), Trade Union Representative(s), SPT Team member(s), SHALL attend the Opening and Closing meeting
- Senior Managements Representative(s), as applicable, SHALL include Health & Safety Rep., HR Manager, Payroll Manager, Production schedules, time and attendance monitoring and labor & ethics/social accountability Compliance Officers
- **Enclosed SGS SA8000 Anti Bribery Policy (GP3729)**
- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation
- A private place for preparation, review and conferencing is requested for the auditor's use
- Please provide a light working lunch on-site each audit day
- Your contract with SGS is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements
- Any valid objection for the appointment of any particular audit team member SHALL be promptly notified to SGS upon receipt of this Audit Plan

LIST of documents to prepare for the audit:

This list is not exhaustive and SGS Auditors reserve the right to ask for additional documents depending on the results of on-site investigation

General	MA/Renewal	Surveillance
Business license	√	
Organization chart	√	√
Layout drawing/plan of premises that includes all buildings and floors and canteen, dormitory, clinic and crèche and all other employer-provided worker service facilities as appropriate (including any areas under construction or renovation)	√	
Employee manual / Factory rules and regulations	√	
Any previous labor, ethics and other similar second and third party audit reports (within the previous 3 years)	√	√ (if any updating)
1. Child labor & Young worker		
Child labor prohibition policy	√	
Recruitment Procedure	√	
Personal documents of worker (ID card, birth certificate, education certificate)	√	√
Remedy action plan / remediation procedure	√	
Young worker protection policy	√	
Young worker registration approval from labor bureau (if present and as applicable)	√	√
Annual health examination report (if present and as applicable)	√	√
2. Forced labor		
Security regulation/job description	√	
Security guard certificate(s)	√	
Security guard's contract / Contract of security guard company	√	
Overtime working arrangement	√	
Security guards work schedule	√	√
3. Health and safety		
Health and safety policy	√	
Health and Safety Risk Assessment/HIRA	√	√
Health and Safety Committee, Organization Chart, H&S relevant C&P action records	√	√
Health and safety training program & records	√	√

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Accident/injury report and records	√	√
Building structure safety / Real estate certificate	√	
Approval document of temporary building/construction (as applicable)	√	
Building fire safety certificate (as applicable)	√	
Fire inspection procedure & records	√	√
Fire evacuation plan	√	
Fire drill records / program	√	√
Noise , Air Quality, etc. testing / monitoring report	√	
PPE safety certificate	√	
Register & Annual Report of pressure vessels, boiler, lifting facilities, etc.	√	√
Operator / Attendant Certificate	√	
Approval certificate of chemical warehouse (as applicable)	√	
Register / record of chemical goods / Dangerous chemicals inventory (as applicable)	√	
MSDS of dangerous chemical	√	
Kitchen/canteen hygiene certificate	√	
Kitchen/canteen workers health certificate	√	
Drinking water quality certificate or records	√	
Water tank Cleaning records	√	√
First aid kits and maintenance records	√	√
Trained first aider	√	√
Worker Health Certificates	√	√
Electricity inspection report	√	√
4. Freedom of association		
Freedom of collective bargaining policy	√	
Meeting minutes of union (if present)	√	
Union agreements	√	
List of worker's representative(s)	√	
Selection program of worker's representative(s)	√	
Activity records of union (as applicable)	√	√
Approval of Government union member (as applicable)	√	
Government Union Member List (as applicable)	√	
5. Discrimination		
Non-discrimination policy	√	
Recruitment Policy	√	
6. Disciplinary practice		
Disciplinary practices policy / procedure	√	
Disciplinary practices records	√	√
7. Working hours		
Working hours schedule	√	√
Time card / attendance records	√	√
Consolidated working hours permit (as applicable)	√	√
8. Compensation		
Wage / promotion policy & calculation method	√	
Organization Living Wage Calculation (adjusted to gross or net)	√	√
Legally required minimum wage (lowest wage permitted by law or by a special agreement such as one with a labor union)	√	√
Lowest wage paid to any employee in the organization	√	√
Over time payment policy	√	
Payroll records	√	√
Meal / dormitory allowance (as applicable)	√	
Local official document of insurance scheme	√	
Social security payment evidence	√	√
Labor contracts	√	√

9. Management System		
Policy of Social Accountability and Labor Conditions	√	
Procedures list	√	√ (when updated)
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