




Sedex Members Ethical Trade Audit Report

Version 6.0



Audit Details			
Sedex Company Reference:	ZC1000088	Sedex Site Reference:	ZS1054864
Audit Code:	ZAA403560071		
Business name (Company name):	Corporacion Fruticola de Chincha S.A.C.		
Site name:	Fruchincha		
Products/Activities at site, for example, garment manufacture, electricals, toys, grower.	Packing of Grapes, Tangerines, Avocado, Pomegranate and Blueberries		
Site address:	Carretera Panamericana Sur Km 201, Alto Larán, Chincha	Country:	Peru
Site contact and job title:	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible		
Site phone:	(+51) 958795844 (+51) 977457520	Site e-mail:	rvillagarcia@fruchincha.com.pe certificaciones@fruchincha.com.pe
SMETA Audit Type:	<input checked="" type="checkbox"/> 2 Pillar <input type="checkbox"/> 4 Pillar <input checked="" type="checkbox"/> Labour Standards <input checked="" type="checkbox"/> Health & Safety <input type="checkbox"/> Environment <input type="checkbox"/> Business Ethics		
Date of Audit:	April 09 th , 10 th and 11 th , 2018		

Audit Company Name & Logo: SIPAS CR-PERÚ, S.A. 	Report Owner (payee): Corporación Frutícola de Chincha S.A.C.
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Audit Conducted By					
Commercial	<input checked="" type="checkbox"/>	Purchaser	<input type="checkbox"/>	Retailer	<input type="checkbox"/>
Brand owner	<input type="checkbox"/>	NGO	<input type="checkbox"/>	Trade Union	<input type="checkbox"/>
Multi-stakeholder	<input type="checkbox"/>	Combined Audit (select all that apply)			

Audit Content:

(1) A SMETA audit was conducted which included some or all of Labour Standards, Health & Safety, Environment and Business Ethics. The SMETA Best Practice Version 6.0 April 2017 was applied. The scope of workers included all types at the site e.g. direct employees, agency workers, workers employed by service providers and workers provided by other contractors. Any deviations from the SMETA Methodology are stated (with reasons for deviation) in the SMETA Declaration.

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

2-Pillar SMETA Audit

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

4-Pillar SMETA

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

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

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

SMETA Declaration

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

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

Any exceptions to this must be recorded here: None

Auditor Team (s):

Lead auditor: Félix Estévez Rojas

Team auditor: Félix Estévez Rojas, Responsible Auditor

Rafael Vasquez Gonzalez, Training Auditor

Report writer: Félix Estévez Rojas, Responsible Auditor

Report reviewer: Jesús Carlos Mora Vargas, Administrative Reviewer

Kenlly Mora Vargas, Technical Manager

Date of declaration: April 11th, 2018

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

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

Non-Compliance Table

Issue		Area of Non-Conformity				Record the number of issues by line*:			NC Findings Only
		ETI Base Code	Local Law	Additional Elements	Customer Code	NC	Obs	GE	
0A	<u>Universal Rights covering UNGP</u>			<input type="checkbox"/>	<input type="checkbox"/>				
0B	<u>Management systems and code implementation</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
1.	<u>Freely Chosen Employment</u>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				
2	<u>Freedom of Association</u>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		1		
3	<u>Safety and Hygienic Conditions</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	8	6		<ul style="list-style-type: none"> Identified the emergency exit of the fruit reception area, obstructed with fruit on pallets. Detected an electrical risk by having fuse boxes or electrical panels open, and unsupervised areas. Identified in the refrigeration area, the re-use of beverage containers. There is not an adequate signalling in the ammonia cylinder. Identified oil derivatives in the coolers area, box storage area and workshop area. Observed fruit storage structures in cold chambers #6 and #8 that are unsafe (screws cut, rusted, missing and damaged, without safety guards). Observed during the site tour, two maintenance workers in the labour of welding that do not have the right PPE (mask for gases). Observed safety harnesses that are badly maintained and stored. Identified in the workshop area, a gas cutting equipment that is not stored properly (hoses-cylinders).
4	<u>Child Labour</u>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				

5	<u>Living Wages and Benefits</u>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		1	7	
6	<u>Working Hours</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	3			<ul style="list-style-type: none"> Identified workers with more than 72 working hours and up to 91 in the month of May, 2017 and also in March, 2018 (palletizer work, forklift work, typing and nursing). Identified workers with more than 60 working hours in the month of May, 2017 and March, 2018 (Chamber worker, packing, waiter, threshing, calibrate labour, and sanitation). Identified a worker in the pallets area, who worked for three weeks without taking his weekly rest day.
7	<u>Discrimination</u>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				
8	<u>Regular Employment</u>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
8A	<u>Sub-Contracting and Homeworking</u>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
9	<u>Harsh or Inhumane Treatment</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	1			<ul style="list-style-type: none"> In the sample of interviews, detected problems of mistreatment from the administrative head, both for middle management workers and administrative workers.
10A	<u>Entitlement to Work</u>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
10B2	<u>Environment 2-Pillar</u>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1			<ul style="list-style-type: none"> Observed that hazardous waste is not stored safely (fluorescent tubes) according to national legislation.
10B4	<u>Environment 4-Pillar</u>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
10C	<u>Business Ethics</u>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

General observations and summary of the site:

The worker's representatives must be workers without positions of responsibility, neither that representatives have workers in charge, temporary and permanent. Workers' representatives must be informed that this management is remunerated.

Analyse the drowning procedure to include preventive measures (ropes, vest and others).

Ensure that workers of forklift, pomegranate packing, receipt of fruit (avocado) and security, perform the evacuation effectively during the drills (stop their work and not turn off the alarm).

Analyse in the matrix if the PPE (masks) are the ideal ones for the welding labours (metal vapours).

Improve the signage of the avocado area (corridors).

Analyse if the size of the medical room allows to provide first aid efficiently within this facility.

Improve the procedure for analysing the results of water for human consumption, the procedure must be agile and guarantee the supply of quality.

Guarantee a written authorization from workers for wage discounts.

**Please note the table above records the total number of Non-compliances (NC), Observations (Obs) and Good Examples (GE). This gives the reviewer an indication of problem areas but does not detail severities of each issue – Reviewers need to check audit results by clause.*

Site Details

Site Details	
A: Company Name:	Corporacion Fruticola de Chincha S.A.C.
B: Site name:	Fruchincha
C: Applicable business and other legally required licence numbers and documents for example, business license no, liability insurance, any other required government inspections	RUC 20410065364 Environmental License Municipal License SENASA
D: Products/Activities at site, for example, garment manufacture, electricals, toys, grower	Packing of Grapes, Tangerines, Avocado, Pomegranate and Blueberries
E: Site description: (Include size, location, and age of site. Also, include structure and number of buildings)	<p>The packing house has non-hazardous waste storage area, hazardous waste storage area, shipping area, chambers, maintenance workshop, machine room, waiting room, bathrooms and dressing rooms for women, bathrooms and dressing rooms for men, dining room, kitchen, medical centre, parking, storage area for chemical inputs, grey water area.</p> <p>Location: Panamerican Highway South Km 201, Alto Larán, Chincha</p> <p>For below, please add any extra rows if appropriate.</p> <p>Visible structural integrity issues (large cracks) observed and without structural engineer evaluation.</p> <p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No</p> <p>Details:</p>
F: Site function:	<input type="checkbox"/> Agent <input type="checkbox"/> Factory Processing/Manufacturer <input type="checkbox"/> Finished Product Supplier <input type="checkbox"/> Grower <input type="checkbox"/> Homeworker <input type="checkbox"/> Labour Provider <input checked="" type="checkbox"/> Pack House <input type="checkbox"/> Primary Producer <input type="checkbox"/> Service Provider <input type="checkbox"/> Sub-Contractor
G: Month(s) of peak season: (if applicable)	Grapes from January to March Tangerines from May to September Avocado from May to August Pomegranate from February to April

	Blueberries from September to November
H: Process overview:	Packing of Grapes, Tangerines, Avocado, Pomegranate and Blueberries Workers: 536 (231 men and 305 women)
I: What form of worker representation / union is there on site?	<input type="checkbox"/> Union <input type="checkbox"/> Worker Committee <input checked="" type="checkbox"/> Other (Health and Safety Committee) <input type="checkbox"/> None
J: Is there any night production work at the site?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
K: Are there any on site provided worker accommodation buildings e.g. dormitories	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes approx. % of workers in on site accommodation
L: Are there any off site provided worker accommodation buildings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes approx. 0 % of workers
M: Were the site provided accommodation buildings included in this audit	<input type="checkbox"/> Yes <input type="checkbox"/> No If No, please give details: Not apply

Audit Parameters

Audit Parameters			
A: Time in and time out	Day 1 Time in: 10:00 Day 1 Time out: 19:00	Day 2 Time in: 08:00 Day 2 Time out: 17:00	Day 3 Time in: 08:00 Day 3 Time out: 17:00
B: Number of Auditor Days Used:	1 Auditor in three days (Total 3 audit days)		
C: Audit type:	<input type="checkbox"/> Full Initial <input checked="" type="checkbox"/> Periodic <input type="checkbox"/> Full Follow-up <input type="checkbox"/> Partial Follow-Up <input type="checkbox"/> Partial Other – Define		
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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No If No, why not		
F: Any conflicting information SAQ/Pre-Audit Info to Audit findings?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes , please capture detail in appropriate audit by clause		
G: Who signed and agreed CAPR (Name and job title)	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible		
H: Is further information available (if Y please contact audit company for details)	<input type="checkbox"/> Yes <input type="checkbox"/> No		
I: Previous audit date:	May 26 th , 2017		
J: Previous audit type:	Full Initial		
K: Was any previous audit reviewed during this audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input 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 <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
B: Present at the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
C: Present at the closing meeting?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

D: If Worker Representatives were not present please explain reasons why(only complete if no worker reps present)	Health and Safety Committee
E: If Union Representatives were not present please explain reasons why:	There's no Worker's Union

Worker Analysis

Worker Analysis								
	Local			Migrant*				Total
	Permanent	Temporary	Agency	Permanent	Temporary	Agency	Home workers	
Worker numbers – Male	10	221	0	0	0	0	0	231
Worker numbers – female	4	301	0	0	0	0	0	305
Total	14	522	0	0	0	0	0	536
Number of Workers interviewed – male	8	25	0	0	0	0	0	33
Number of Workers interviewed – female	4	15	0	0	0	0	0	19
Total – interviewed sample size	12	40	0	0	0	0	0	52

A: Nationality of Management	Peruvian
B: Majority nationality of workers	Main countries: 1 Country 1: Peru approx % total workforce 100 % Country 2: approx % total workforce Country 3: approx % total workforce
C: Worker remuneration (management information)	0 % hourly paid workers 100 % salaried workers Payment cycle: 0 % bi-weekly paid 0 % monthly paid 100 % weekly

Worker Interview Summary

A: Were workers aware of the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
B: Were workers aware of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
C: Number of group interviews:	8 groups	
D: Number of individual interviews	Male: 2	Female: 1
E: All groups of workers are included in the scope of this audit such as; Direct employees, Casual and agency workers, Workers employed by service providers such as security and catering staff as well as workers supplied by other contractors.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If N, please give details	
F: Interviews were done in private and the confidentiality of the interview process was communicated to the workers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
G: In general, what was the attitude of the workers towards their workplace?	<input checked="" type="checkbox"/> Favourable <input type="checkbox"/> Non-favourable <input type="checkbox"/> Indifferent	
H: What was the most common worker complaint?	None	
I: What did the workers like the most about working at this site?	Motivation to workers through awards for assistance and suggestions. The workers' express good treatment by the middle managers. Celebration at the end of the season, where recognition is given for father's day and mother's day. The workers express the stability offered by the company, both economic and professional, and workers appreciate it.	
J: Any additional comment(s) regarding interviews:	None	
K: Attitude of workers to hours worked:	Normal	
L. Is there any worker survey information available?		
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please give details:		
M: Attitude of workers:		
Attitude to the employer: The administrative workers were always very helpful during the audit process, facilitating the passage of information.		
Identified work environment:		

During the audit process and the information obtained from the interviews, the workers have a good working environment.

Attitude to participate in the interviews:

The interviewer was very cooperative and sincere.

Knowledge of the audit process

The workers knew about the audit, and knew the principles of the ETI Code.

N: Attitude of worker's committee/union reps:

The workers of the Health and Safety Committee were very cooperative and sincere.

O: Attitude of managers:

The company showed complete willingness to perform the audit process. Attend meetings of opening and closing.

During the audit, the audit team obtained without problem all the requested documents and with full transparency.

The company management did not express any objections to have the interviews in private.

During interviews, workers were alone with the auditor.

Audit Results by Clause

0A: Universal Rights covering UNGP

[\(Click here to return to NC-table\)](#)

[\(Click here to return to Key Information\)](#)

0.A. Guidance for Observations

0.A.1 Businesses should have a policy, endorsed at the highest level, covering human rights impacts and issues, and ensure it is communicated to all appropriate parties, including its own suppliers.

0.A.2 Businesses should have a designated person responsible for implementing standards concerning Human rights

0.A.3 Businesses shall identify their stakeholders and salient issues.

0.A.4 Businesses shall measure their direct, indirect, and potential impacts on stakeholders (rights holders) human rights.

0.A.5 Where businesses have an adverse impact on human rights within any of their stakeholders, they shall address these issues and enable effective remediation.

0.A.6 Businesses shall have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter.

Note for auditors and readers. This is not a full Human Rights Assessment, but instead a check on the business's implementation of processes to meet their Universal rights covering UNGP responsibilities.

Current Systems and Evidence Examined

Current systems:

- Ethical Trade Initiative
- Internal Regulations
- Regulation on Hygiene, Safety, Food Handling and Human Relations
- No Labour Discrimination Policy
- Procedure for the management of pregnant women
- Risk Assessment for vulnerable populations
- Complaints and Suggestions Procedure

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Documentation review
- Interviews
- During the audit, there is no evidence of any aggravation in this area

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

A: Policy statement that expresses commitment to respect human rights?

☒ Yes

☐ No

Please give details: Documentation review

B: Does the business have a designated person responsible for implementing standards concerning Human Rights?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Documentation review
C: Does the businesses have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Documentation review
D: Does the business demonstrate effective data privacy procedures for workers' information, which is implemented?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Documentation review

Findings		
1-Finding: Observation <input type="checkbox"/> Description of observation: Not apply Local law or ETI/Additional elements / customer specific requirement: Not apply Comments: Not apply	Company NC <input type="checkbox"/>	Objective evidence observed: Not apply

Good examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

Measuring Workplace Impact

Workplace Impact		
A: Annual worker turnover:	Last year: 0 %	This year 80 %
B: Current % quarterly (90 days) turnover:	Last year: 0 %	Last year: 157 %
C: Annual % absenteeism:	Last year: 0 %	This year 9 %

D: Quarterly (90 days) % absenteeism:	Last year: 0 %	Last year: 10 %
E: Are accidents recorded?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe:	
F: Annual Number of work related accidents and injuries per 100 workers:	Last year: Number: 0	This year: Number: 13 %
G: Quarterly (90 days) number of work related accidents and injuries per 100 workers:	0	9 %
H: Lost day work cases per 100 workers:	Last year: 0	This year: 38 %
I: % of workers that work on average more than 48 standard hours / week in the last 6 / 12 months:	6 months 0 %	12 months 23 %
J: % of workers that work on average more than 60 total hours / week in the last 6 / 12 months:	6 months 0 %	12 months 22 %

0B: Management system and Code Implementation

[\(Click here to return to NC-table\)](#)

[\(Click here to return to Key Information\)](#)

0.B.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.
 0.B.2 Suppliers are expected to be operating legally in premises with the correct business licenses and permissions and to have systems to ensure that all relevant land rights have been complied with
 0.B.3 Suppliers shall appoint a senior member of management who shall be responsible for compliance with the Code.
 0.B.4 Suppliers are expected to communicate this Code to all employees.
 0.B.5 Suppliers should communicate this code to their own suppliers and, where reasonably practicable, extend the principles of this Ethical Code through their supply chain.

Current Systems and Evidence Examined

Current systems:

- Ethical Trade Initiative
- Internal Regulations
- Regulation of Safety and Health at Work
- Regulation on Hygiene, Safety, Food Handling and Human Relations
- Internal Audit
- Procedure for approval and monitoring of suppliers
- Social Responsibility Guidelines for suppliers (based on the ETI Code)

Training:

- ETI Code
- Internal Regulations
- Assertive communication
- Supervision Strategies-Coaching
- Enterprising woman
- Emotion Control
- Legal-Family Violence

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Documentation review
- Interviews

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Management Systems:

A: In the last 12 months, has the site been subject to any fines/prosecutions for non-compliance to any regulations?

☐ Yes
☒ No

	Please describe: The company has not suffered persecution
B: Do policies and/or procedures exist that reduce the risk of forced labour, child labour, discrimination, harassment & abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Documentation review
C: If Yes, is there evidence (an indication) of effective implementation? Please give details.	Interview with the workers
D: Have managers and workers received training in the standards for forced labour, child labour, discrimination, harassment & abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Company training matrix on these issues, review training records and evidence this with the interviews
E: If Yes, is there evidence (an indication) that training has been effective e.g. training records etc.? Please give details	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Review of training records
F: Does the site have any internationally recognised system certifications e.g. ISO 9000, 14000, OHSAS 18000, SA8000 (or other social audits).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: BRC HACCP BASC BPM
G: Is there a Human Resources manager/department? If Yes, please detail.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: The company have a human resources department
H: Is there a senior person /manager responsible for implementation of the Code	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible
I: Is there a policy to ensure all worker information is confidential	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Documentation review
J: Is there an effective procedure to ensure confidential information is kept confidential	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Documentation review
K: Are risk assessments conducted to evaluate policy and procedure effectiveness?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: Documentation review
L: Does the facility have a process to address issues found when conducting risk assessments, including implementation of controls to reduce identified risks?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: Documentation review

M: Does the facility have a policy/code which require labour standards of its own suppliers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: Documentation review
Land rights	
N: Does the site have all required land rights licenses and permissions (see SMETA Measurement Criteria)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: Documentation review
O: Does the site have systems in place to conduct legal due diligence to recognize and apply national laws and practices relating to land title	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: Documentation review
P: Does the site have a written policy and procedures specific to land rights. If yes, does it include any due diligence the company will undertake to obtain free, prior and informed consent, (FPIC) even if national/local law does not require it	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, how does the company obtain FPIC: Documentation review
Q: Is there evidence that facility site compensated the owner/lessor for the land prior to the facility being built or expanded. Please give details.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: Documentation review
R. Does the Facility demonstrate that alternatives to a specific land acquisition were considered to avoid or minimize adverse impacts Please give details.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: Documentation review
S: Is There any evidence of illegal appropriation of land for facility building or expansion of footprint.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Details:

Non-compliance:	
1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against customer code: Not apply Local law and/or ETI requirement: Not apply Recommended corrective action: Not apply	Objective evidence observed: Not apply

Observation:

1-Description of observation: Not apply Local law or ETI requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply
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Good Examples observed:	
Description of Good Example (GE): Not apply	Objective evidence observed: Not apply

1: Freely Chosen Employment

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ETI

1.1 There is no forced, bonded or involuntary prison labour.

1.2 Workers are not required to lodge "deposits" or their identity papers with their employer and are free to leave their employer after reasonable notice.

Current Systems and Evidence Examined

Current systems:

- Ethical Trade Initiative
- Internal Regulations
- During interviews with the workers was evident that there is no forced labour

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Interviews
- Documentation review
- No wages are retained
- No evidence of forced labour in the company

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

A: Is there any evidence of retention of original documents, e.g. passports/ID's	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes please give details and category of workers affected
B: Is there any evidence of a loan scheme in operation	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes please give details and category of worker affected: maintains (example: furniture).
C: Is there Any evidence of retention of wages /deposits	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes please give details and category of worker affected
D: Are there any restrictions on workers' freedom to terminate employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please describe finding:
E: If any part of the business is UK based / registered & turnover is 36m+ there is a requirement to	<input type="checkbox"/> Yes <input type="checkbox"/> No Please describe finding:

publish a 'modern day slavery statement. F: Is there a modern day slavery statement published	<input checked="" type="checkbox"/> Not applicable
G: Is there evidence of any restrictions on workers' freedoms to leave the site at the end of the work day	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please describe finding:
H: Does the site understand the risks of forced / trafficked / bonded labour in it's supply chain	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes please give details and category of workers affected: <input checked="" type="checkbox"/> Not applicable
I: Is the site taking any steps to reduce the risk of forced / trafficked labour?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe finding: The company does not allow forced labour

Non-compliance:	
1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against customer code: Not apply Local law and/or ETI requirement Not apply Recommended corrective action: Not apply	Objective evidence observed: Not apply

Observation:	
Description of observation: Not apply Local law or ETI requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply

Good Examples observed:	
Description of Good Example (GE):	Objective evidence observed:
Not apply	Not apply

2: Freedom of Association and Right to Collective Bargaining are Respected

[\(Click here to return to NC-table\)](#)
[\(Click here to return to Key Information\)](#)

ETI

- 2.1 Workers, without distinction, have the right to join or form trade unions of their own choosing and to bargain collectively.
- 2.2 The employer adopts an open attitude towards the activities of trade unions and their organisational activities.
- 2.3 Workers' representatives are not discriminated against and have access to carry out their representative functions in the workplace.
- 2.4 Where the right to freedom of association and collective bargaining is restricted under law, the employer facilitates, and does not hinder, the development of parallel means for independent and free association and bargaining.

Current Systems and Evidence Examined

Current systems:

- Health and Safety Committee
- Ethical Trade Initiative
- Freedom of Association Policy
- Training in functions and responsibilities of the Committee
- The company is open to put in place mechanisms to improve the communication and the workplace with the workers

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Documentation review
- Interviews

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

A: What form of worker representation/union is there on site?	<input type="checkbox"/> Union <input type="checkbox"/> Worker Committee <input checked="" type="checkbox"/> Other (Health and Safety Committee) <input type="checkbox"/> None
B: Is it a legal requirement to have a union?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
C: Is it a legal requirement to have a worker's committee?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
D: Is there any other form of effective worker/management communication channel? (Other	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Describe:

than union/worker committee) e.g. H&S, sexual harassment	Is there evidence of free elections? <input type="checkbox"/> Yes <input type="checkbox"/> No Not apply	
E: Does the supplier provide adequate facilities to allow the Union or committee to conduct related business?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details:	
F: Name of union and union representative, if applicable:	Not apply	Is there evidence of free elections? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A
G: If no union what is parallel means of consultation with workers e.g. worker committees?	Health and Safety Committee	Is there evidence of free elections? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
H: Are all workers aware of who their representatives are?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
I: Were worker representatives freely elected?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
J: Do workers know what topics can be raised with their representatives?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
K: Were worker representatives/union representatives interviewed	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If Yes , please state how many: 4	
L: State any evidence that union/worker's committee is effective?	Documentation review	
M: Are any workers covered by Collective Bargaining Agreement (CBA)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
N: If Yes what percentage by trade Union/worker representation	% workers covered by Union CBA Not Apply	____% workers covered by worker rep CBA Not Apply
O: If Yes , does the Collective Bargaining Agreement (CBA) include rates of pay	<input type="checkbox"/> Yes <input type="checkbox"/> No Not apply	

Non-compliance:

1. Description of non-compliance:

- ☐ NC against ETI/Additional Elements
☐ NC against customer code:

☐ NC against Local Law

Objective evidence observed:

Not apply

Not apply Local law and/or ETI requirement: Not apply Recommended corrective action: Not apply	
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Observation:	
1-Description of observation: The worker's representatives must be workers without positions of responsibility, neither that representatives have workers in charge, temporary and permanent. Workers' representatives must be informed that this management is remunerated. Local law or ETI requirement: (2.4 Freedom of Association) Workers representatives are not from production workers e.g. they are administrators or supervisory staff but are elected Comments: None	Objective evidence observed: Documentation review

Good Examples observed:	
Description of Good Example (GE): Not apply	Objective evidence observed: Not apply

3: Working Conditions are Safe and Hygienic

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ETI

3.1 A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.

3.2 Workers shall receive regular and recorded Health & Safety training, and such training shall be repeated for new or reassigned workers.

3.3 Access to clean toilet facilities and to potable water, and, if appropriate, sanitary facilities for food storage shall be provided.

3.4 Accommodation, where provided, shall be clean, safe, and meet the basic needs of the workers.

3.5 The company observing the code shall assign responsibility for Health & Safety to a senior management representative.

Current Systems and Evidence Examined

Current systems:

- Health and Safety Policy
- Contingency Plan
- Accident Records
- IPERC Matrix
- Health Card
- Emergency Drills
- Procedure for Medical Examinations
- Lighting and Noise Evaluation
- Chemical Products List
- Water Analysis
- Procedure to deal with cases of drowning

Training:

- Defensive driving in the use of forklifts
- Importance of safety at work
- Self-contained breathing equipment
- Work at Height
- PPE
- Transmissible diseases
- Occupational Hazards of the Industry
- Manipulation and lifting of loads
- Management and Use of Agrochemicals

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

- Documentation review

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

<p>A: Does the facility have general Health & Safety and occupational Health & Safety policies and procedures that are fit for purpose and are these communicated to workers?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Details: Documentation review</p>
<p>B: Are the policies included in worker's manual?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Details: Documentation review</p>
<p>C: Are there any structural additions without required permits/inspections (e.g. floors added)?</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <p>Details:</p>
<p>D: Are visitors to the site informed on H&S and provided with personal protective equipment</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Details: Documentation review</p>
<p>E: Is a medical room or medical facility provided for workers?</p> <p>If yes, do the room(s) meet legal requirements and is the size/number of rooms suitable for the number of workers.</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Details: The company has a medical centre</p>
<p>F: Is there a doctor or nurse on site or there is easy access to first aider/ trained medical aid</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Details: The company has a medical centre</p>
<p>G: Where facility provides worker transport - it is fit for purpose, safe and maintained and operated by competent persons e.g. buses and other vehicles</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <p>Details:</p>
<p>H: Secure personal storage space is provided for workers in their living space and is fit for purpose</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Details: Infrastructure review</p>
<p>I: H&S Risk assessments are conducted (including evaluating the arrangements for workers doing overtime e.g. driving after a long shift) and there are controls to reduce identified risk</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>Details: Documentation review</p>

J: Is the site meeting its legal obligations on environmental requirements including required permits for use and disposal of natural resources	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Documentation review
K: Is the site meeting its customer requirements on environmental standards, including the use of banned chemicals	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Infrastructure review

Non-compliance:	
<p>1. Description of non-compliance:</p> <p><input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law</p> <p><input type="checkbox"/> NC against customer code:</p> <p>Identified the emergency exit of the fruit reception area, obstructed with fruit on pallets.</p> <p>Local law and/or ETI requirement:</p> <p>(3.2.15 Health and Safety) Systemic occurrence of blocked fire exits</p> <p>Recommended corrective action:</p> <p>Improve safety measures.</p>	<p>Objective evidence observed:</p> <p>Visit on site</p>
<p>2. Description of non-compliance:</p> <p><input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law</p> <p><input type="checkbox"/> NC against customer code:</p> <p>Detected an electrical risk by having fuse boxes or electrical panels open, and unsupervised areas.</p> <p>Local law and/or ETI requirement:</p> <p>(3.2.22 Health and Safety) Systemic occurrence of incorrect / damaged insulation in electricals including burnt / damaged wiring and plugs</p> <p>Recommended corrective action:</p> <p>Improve safety measures.</p>	<p>Visit on site</p>
<p>3. Description of non-compliance:</p> <p><input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law</p> <p><input type="checkbox"/> NC against customer code:</p> <p>Identified in the refrigeration area, the re-use of beverage containers.</p> <p>There is not an adequate signalling in the ammonia cylinder.</p> <p>Local law and/or ETI requirement:</p>	<p>Visit on site</p>

(3.3.3 Health and Safety) Hazardous chemicals are stored unlabelled or labelling is incorrect

Recommended corrective action:

Improve safety measures.

4. Description of non-compliance:

☒ NC against ETI/Additional Elements

☐ NC against Local Law

☐ NC against customer code:

Identified oil derivatives in the coolers area, box storage area and workshop area.

Local law and/or ETI requirement:

(3.3.7 Health and Safety) No / inadequate spill kit provided for handling chemical spillage and leakage

Recommended corrective action:

Improve safety measures.

5. Description of non-compliance:

☒ NC against ETI/Additional Elements

☐ NC against Local Law

☐ NC against customer code:

Observed fruit storage structures in cold chambers #6 and #8 that are unsafe (screws cut, rusted, missing and damaged, without safety guards).

Local law and/or ETI requirement:

(3.4.2 Health and Safety) Premises are structurally unsafe (e.g. major cracks observed)

Recommended corrective action:

Improve safety measures.

6. Description of non-compliance:

☒ NC against ETI/Additional Elements

☐ NC against Local Law

☐ NC against customer code:

Observed during the site tour, two maintenance workers in the labour of welding that do not have the right PPE (mask for gases).

Third-party workers of box gluing machines do not use PPE (gloves and ear plugs).

Local law and/or ETI requirement:

(3.5.1 Health and Safety) PPE provided, but inadequate condition or wrong type

Recommended corrective action:

Visit on site

Visit on site

Visit on site

<p>Improve safety measures.</p> <p>7. Description of non-compliance: <input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code:</p> <p>Observed safety harnesses that are badly maintained and stored.</p> <p>Local law and/or ETI requirement:</p> <p>(3.5.2 Health and Safety) No / inadequate training in how to use PPE</p> <p>Recommended corrective action:</p> <p>Improve safety measures.</p>	<p>Visit on site</p>
<p>8. Description of non-compliance: <input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code:</p> <p>Identified in the workshop area, a gas cutting equipment that is not stored properly (hoses-cylinders).</p> <p>In the national market area, in the cargo bay there are no safety stops (rubbers) for cargo vehicles.</p> <p>Identified lack of order and cleanliness in the workshop area (obsolete), and poor distribution of loads. Observed dangerous wastes.</p> <p>Observed that the packing tables (stainless steel) have sharp edges.</p> <p>Local law and/or ETI requirement:</p> <p>(3.6.19 Health and Safety) Workstations and work areas are untidy creating a serious risk of injury</p> <p>Recommended corrective action:</p> <p>Improve safety measures.</p>	<p>Visit on site</p>

Observation:	
<p>1. Description of observation:</p> <p>Analyse the drowning procedure to include preventive measures (ropes, vest and others).</p> <p>Local law or ETI requirement:</p> <p>(3.1.4 Health and safety) No / inadequate H&S risk / hazard factors assessment conducted</p> <p>Recommended corrective action:</p>	<p>Objective evidence observed:</p> <p>Documentation review</p>

<p>None</p> <p>2. Description of observation:</p> <p>Ensure that workers of forklift, pomegranate packing, receipt of fruit (avocado) and security, perform the evacuation effectively during the drills (stop their work and not turn off the alarm).</p> <p>Local law or ETI requirement:</p> <p>(3.1.9 Health and safety) No H&S training for employees working in hazardous conditions e.g. chemicals / machinery</p> <p>Recommended corrective action:</p> <p>None</p>	<p>Visit on site</p>
<p>3. Description of observation:</p> <p>Analyse in the matrix if the PPE (masks) are the ideal ones for the welding labours (metal vapours).</p> <p>Local law or ETI requirement:</p> <p>(3.5.1 Health and safety) PPE provided, but inadequate condition or wrong type</p> <p>Recommended corrective action:</p> <p>None</p>	<p>Documentation review</p>
<p>4. Description of observation:</p> <p>Improve the signage of the avocado area (corridors).</p> <p>Local law or ETI requirement:</p> <p>(3.5.9 Health and safety) Workplace traffic management system / roads etc. is unsafe or inadequate</p> <p>Recommended corrective action:</p> <p>None</p>	<p>Visit on site</p>
<p>5. Description of observation:</p> <p>Analyse if the size of the medical room allows to provide first aid efficiently within this facility.</p> <p>Local law or ETI requirement:</p> <p>(3.6.7 Health and safety) No / inadequate medical facilities which does not meet legal requirements</p>	<p>Visit on site</p>

<p>Recommended corrective action:</p> <p>None</p> <p>6. Description of observation:</p> <p>Improve the procedure for analysing the results of water for human consumption, the procedure must be agile and guarantee the supply of quality.</p> <p>Local law or ETI requirement:</p> <p>(3.6.17 Health and safety) No / inadequate testing of water for potability</p> <p>Recommended corrective action:</p> <p>None</p>	<p>Documentation review</p>
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Good Examples observed:	
<p>Description of Good Example (GE):</p> <p>Not apply</p>	<p>Objective Evidence Observed:</p> <p>Not apply</p>

4: Child Labour Shall Not Be Used

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[\(Click here to return to Key Information\)](#)

ETI

- 4.1 There shall be no new recruitment of child labour.
- 4.2 Companies shall develop or participate in and contribute to policies and programmes which provide for the transition of any child found to be performing child labour to enable her or him to attend and remain in quality education until no longer a child.
- 4.3 Children and young persons under 18 shall not be employed at night or in hazardous conditions.
- 4.4 These policies and procedures shall conform to the provisions of the relevant ILO Standards.

Current Systems and Evidence Examined

Current systems:

- Ethical Trade Initiative
- Prevention and Abuse of Minors Policy
- The internal regulation of the company indicates that children should not be hired
- During interviews, workers indicated that in the company children should not be hired, all the workers must have 18 years of age

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Interview with management team
- Interview with workers
- Documentation review

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

A: Legal age of employment	18 years
B: Age of youngest worker found:	18 years
C: Children present on workforce but not working at time of audit	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
D: % of under 18's at this site (of total workers)	0 %
E: Workers under 18 subject to hazardous work assignments? (Go to clause 3 – Health and Safety)	<input type="checkbox"/> Yes <input type="checkbox"/> No If Y give details Not apply

Non-compliance:	
1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against customer code: Not apply Local law and/or ETI requirement: Not apply Recommended corrective action: Not apply	Objective evidence observed: Not apply

Observation:	
Description of observation: Not apply Local law or ETI requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply

Good Examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

5: Living Wages are Paid

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ETI

5.1 Wages and benefits paid for a standard working week meet, at a minimum, national legal standards or industry benchmark standards, whichever is higher. In any event wages should always be enough to meet basic needs and to provide some discretionary income.

5.2 All workers shall be provided with written and understandable information about their employment conditions in respect to wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid.

5.3 Deductions from wages as a disciplinary measure shall not be permitted nor shall any deductions from wages not provided for by national law be permitted without the expressed permission of the worker concerned. All disciplinary measures should be recorded.

Current Systems and Evidence Examined

Current systems:

- The workers receive salary weekly
- Training Program
- Ethical Trade Initiative
- Job Profiles

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Interviews
- Documentation review

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Non-compliance:

1. Description of non-compliance:

- ☐ NC against ETI/Additional Elements
☐ NC against customer code:

Not apply

Local law and/or ETI requirement:

Not apply

Recommended corrective action:

Not apply

Objective evidence observed:

Not apply

Observation:	
1-Description of observation: <p>Guarantee a written authorization from workers for wage discounts.</p> Local law or ETI requirement: <p>(5.7 Wages and Benefits) Deductions which are made without worker's written permission e.g. food allowance deductions / accommodation deductions / not provided for by national law</p> Comments: <p>None</p>	Objective evidence observed: <p>Documentation review</p>

Good Examples observed:	
Description of Good Example (GE): <p>Motivation to workers through awards for assistance and suggestions.</p> <p>The workers' express good treatment by the middle managers.</p> <p>During lunch, workers watch videos of awareness on values, waste management, harassment, culture, discrimination, among others.</p> <p>Celebration at the end of the season, where recognition is given for father's day and mother's day.</p> <p>The workers express the stability offered by the company, both economic and professional, and workers appreciate it.</p> <p>Bonus for perfect attendance.</p> <p>Sport tournament. Values walk, Children visit to the packing house, Cinema day (family) and mural contest.</p>	Objective Evidence Observed: <p>Documentation review and interviews</p>

Summary Information

Criteria	Local Law	Actual at the Site	Is this part of a Collective Bargaining Agreement?
A: Standard/Contracted work hours:	Legal maximum: 48 ordinary hours (maximum 8 ordinary hours per day)	48 hours per week	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
B: Overtime hours:	Legal maximum: Is not define a	18 hours per week	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

	maximum of overtime per week		
D: wage for standard/contracted hours:	Legal minimum: S/. 850 per month.	850 soles per month	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
E: overtime wage:	Legal minimum: First two overtime hours in a day with a 125% of payment After the third overtime hour with a 135% of payment Rest days and holidays with a 200% of payment	50% more than ordinary hours during the day	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

Wages analysis: (Click here to return to NC-table) (Click here to return to Key information)		
A: Were accurate records shown at the first request?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
B: If No , why not?	Not Apply	
C: Sample Size Checked	52 workers	
D: Are there different legal minimum wage grades? If Yes , please specify all.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If Yes , please give details:
E: If there are different legal minimum grades, are all workers graded and paid correctly?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A	If No , please give details:
F: For the lowest paid production workers, are wages paid for standard/contracted hours (excluding overtime) below or above the legal minimum?	Lowest Wages found: Note: <i>full time employees and please state hour / week / month etc.</i>	Please indicate the breakdown of workforce per earnings:
	<input type="checkbox"/> Below legal min <input type="checkbox"/> Meet <input checked="" type="checkbox"/> Above	____% of workforce earning under min wage ____% of workforce earning min wage 100% of workforce earning above min wage
G: Bonus (amount specify)	Bonus for perfect attendance.	

H: What deductions are required by law e.g. social insurance? Please state all types:	Social security, ONP.
I: Have these deductions been made? Please list all deductions that have/have not been made.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If No, please describe
J: Were appropriate records available to verify hours of work and wages?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
K: Were any inconsistencies found? (if yes describe nature)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> Poor record keeping <input type="checkbox"/> No <input checked="" type="checkbox"/> Isolated incident <input type="checkbox"/> Repeated occurrence: Guarantee a written authorization from workers for wage discounts
L: Do records reflect all time worked? (For instance, are workers asked to attend meetings before or after work but not paid for their time)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details:
M: Is there a defined living wage: <i>This is <u>not</u> normally minimum legal wage. If answered Yes, please state amount and source of info:</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please specify amount/time:
If yes, what was the calculation method used.	<input type="checkbox"/> ISEAL/Anker Benchmarks <input type="checkbox"/> Asia Floor Wage <input type="checkbox"/> Figures provided by Unions <input type="checkbox"/> Living Wage Foundation UK <input type="checkbox"/> Fair Wear Wage Ladder <input type="checkbox"/> Fairtrade Foundation Other – please give details:
N: Are there periodic reviews of wages? If Yes give details (include whether there is consideration to basic needs of workers plus discretionary income).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: National legislation reviews wages once a year
O: Are workers paid in a timely manner in line with local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
P: Is there evidence that equal rates are being paid for equal work:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Details: Documentation review
Q: How are workers paid:	<input type="checkbox"/> Cash <input type="checkbox"/> Cheque <input checked="" type="checkbox"/> Bank Transfer <input type="checkbox"/> Other If other explain:

6: Working Hours are not Excessive

[\(Click here to return to NC-table\)](#)
[\(Click here to return to Key Information\)](#)

ETI

6.1 Working hours must comply with national laws, collective agreements, and the provisions of 6.2 to 6.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.

6.2 Working hours, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week.

6.3 All overtime shall be voluntary. Overtime shall be used responsibly, taking into account all the following: the extent, frequency and hours worked by individual workers and the workforce as a whole. It shall not be used to replace regular employment. Overtime shall always be compensated at a premium rate, which is recommended to be not less than 125% of the regular rate of pay.

6.4 The total hours worked in any 7-day period shall not exceed 60 hours, except where covered by clause 6.5 below.

6.5 Working hours may exceed 60 hours in any 7-day period only in exceptional circumstances where **all** of the following are met:

- this is allowed by national law;
- this is allowed by a collective agreement freely negotiated with a workers' organisation representing a significant portion of the workforce;
- appropriate safeguards are taken to protect the workers' health and safety; and
- The employer can demonstrate that exceptional circumstances apply such as unexpected production peaks, accidents or emergencies.

6.6 Workers shall be provided with at least one day off in every 7-day period or, where allowed by national law, 2 days off in every 14-day period.

Current Systems and Evidence Examined

Current systems:

- Ethical Trade Initiative
- Workers have 60 minutes for lunch
- There is a daily record of hours

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Worker files
- Working hours' records

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Non-compliance:		
<p>1. Description of non-compliance:</p> <p><input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law</p> <p><input type="checkbox"/> NC against customer code:</p> <p>Identified workers with more than 72 working hours and up to 91 in the month of May, 2017 and also in March, 2018 (palletizer work, forklift work, typing and nursing).</p> <p>Local law and/or ETI requirement:</p> <p>(6.9 Working Hours) Excessive overtime hours i.e. total hours in excess of 72 hours per week on a regular basis and over an extended period</p> <p>Recommended corrective action:</p> <p>Review overtime.</p>		<p>Objective evidence observed:</p> <p>Documentation review</p>
<p>2. Description of non-compliance:</p> <p><input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law</p> <p><input type="checkbox"/> NC against customer code:</p> <p>Identified workers with more than 60 working hours in the month of May, 2017 and March, 2018 (Chamber worker, packing, waiter, threshing, calibrate labour, and sanitation).</p> <p>Local law and/or ETI requirement:</p> <p>(6.15 Working Hours) Total hours exceed 60 hours on a regular basis for a minority of the workforce - ETI requirements are not met</p> <p>Recommended corrective action:</p> <p>Review overtime.</p>		<p>Documentation review</p>
<p>3. Description of non-compliance:</p> <p><input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law</p> <p><input type="checkbox"/> NC against customer code:</p> <p>Identified a worker in the pallets area, who worked for three weeks without taking his weekly rest day.</p> <p>Local law and/or ETI requirement:</p> <p>(6.17 Working Hours) Isolated occurrence of workers not receiving 1-day rest in every 7 days</p> <p>Recommended corrective action:</p> <p>Workers should have a rest day per week.</p>		<p>Documentation review</p>

Observation:	
1-Description of observation: Not apply Local law or ETI requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply

Good Examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

Working hours' analysis (Click here to return to NC-table) (Click here to return to Key Information)					
Systems & Processes					
A. What timekeeping systems are used: time card etc.	Describe: Manual control				
B: Is sample size same as in wages section	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If N, please give details				
C: Are standard/contracted working hours defined in all contracts/employment agreements?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If NO, please give details including % and which type of workers do NOT have standard hours defined in contracts/employment agreements. Details			
D: Are there any other types of contracts/employment agreements used?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If YES, please complete as appropriate:			
		<input type="checkbox"/> 0 hrs	<input type="checkbox"/> Part time	<input type="checkbox"/> Variable hrs	<input type="checkbox"/> Other
		If "Other", Please define:			
		Not Apply			

E: Do any standard/contracted working hours defined in contracts/employment agreements exceed 48 hours per week	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If Y please %detail hours, % and types of workers & affected and frequency Details:
F: Are workers provided with at least 1 day off in every 7-day-period, or 2 in 14-day-period (where the law allows)?	Please select all applicable: <input type="checkbox"/> 1 in 7 days <input type="checkbox"/> 2 in 14 days <input checked="" type="checkbox"/> No If 'No', please explain: Identified a worker in the pallets area, who worked for three weeks without taking his weekly rest day.	Is this allowed by local law? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Maximum number of days worked without a day off (in sample): 21		
Standard/Contracted Hours worked		
G: Standard working hours over 48 per week found	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If yes, % of workers & frequency
H: Any local waivers/local law or permissions which allow averaging/annualised hours for this site?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	If YES, please give details
Overtime Hours worked		
I: Actual overtime hours worked in sample (State per day/week/month)	Highest OT hours: 43 hours	
J: Combined hours (standard/contracted plus= total) 60 found?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
K: Approximate percentage of total workers on highest overtime hours	Identified workers with more than 72 working hours and up to 91 in the month of May, 2017 and also in March, 2018 (palletizer work, forklift work, typing and nursing). Identified workers with more than 60 working hours in the month of May, 2017 and March, 2018 (Chamber worker, packing, waiter, threshing, calibrate labour, and sanitation).	
L: Is overtime voluntary?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Conflicting Information	Please detail evidence e.g. Wording of contract/employment

		agreement/handbook/worker interviews/refusal arrangements:
Overtime Premiums		
M: Are the correct legal overtime premiums paid?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A – there is no legal requirement to OT premium	Please give details of normal day overtime premium as a % of standard wages:
N: Is overtime paid at a premium?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If yes, please describe % of workers & frequency:
O: ETI Code requires a prevailing standard to give greatest worker protection. If a site pays less than 125% OT premium and this is allowed under local law, are there other considerations? Please complete the boxes where relevant. Multi select is possible.	<input checked="" type="checkbox"/> No <input type="checkbox"/> Consolidated pay (May be standard wages above minimum legal wage, with no/low overtime premium) <input type="checkbox"/> Collective Bargaining agreements <input type="checkbox"/> Other	
	Please explain any checked boxes above e.g. detail of consolidated pay CBA or Other	
	Not Apply	
P: If more than 60 total hours per week and this is legally allowed, are there other considerations? Please complete the boxes where relevant. Multi select is possible.	<input checked="" type="checkbox"/> Overtime is voluntary <input type="checkbox"/> Onsite Collective bargaining allows 60+ hours/week <input type="checkbox"/> Safeguards are in place to protect worker's health and safety <input type="checkbox"/> Site can demonstrate exceptional circumstances <input type="checkbox"/> Other reasons (please specify)	
	Please explain any checked boxes above	
	Overtime is voluntary	
Q: Is there evidence that overtime hours are being used for extended periods to make up for labour shortages or increased order volumes?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, please describe Identified workers with more than 72 working hours and up to 91 in the month of May, 2017 and also in March, 2018 (palletizer work, forklift work, typing and nursing). Identified workers with more than 60 working hours in the month of May, 2017 and March, 2018 (Chamber worker, packing, waiter, threshing, calibrate labour, and sanitation).	
R: If sufficient workers cannot be hired, are new working time arrangements	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

<p>explored to ensure that overtime is the exception rather than the rule.</p>	
--	--

7: No Discrimination is Practiced

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ETI

7.1 There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.

Current Systems and Evidence Examined

Current systems:

- Ethical Trade Initiative
- No Labour Discrimination Policy
- Procedure for the management of pregnant women
- Risk Assessment for vulnerable populations
- The non-discrimination is evident in the form of payment, because workers have equal rate per equal job
- According to the workers, there is a respectful and friendly environment
- There is no evidence of dismissal of pregnant or lactating women

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Documentation review
- Interviews

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

A: Gender breakdown of Management + Supervisors (Include as one combined group)	Male: 38 % Female: 62 %
B: Number of women who are in skilled or technical roles e.g. where specific qualifications are needed i.e. machine engineer / laboratory analyst	#: 5
C: Is there any evidence of discrimination based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation?:	<input type="checkbox"/> Hiring <input type="checkbox"/> Compensation <input type="checkbox"/> access to training <input type="checkbox"/> promotion <input type="checkbox"/> termination or retirement Not apply

Professional Development	
A: What type of training and development are available for workers?	Please give details Training Program
B: Are HR decisions on e.g. promotion, training, compensation based on objective, transparent criteria?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, please give details:

Non-compliance:	
1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against customer code: Not apply Local law and/or ETI requirement: Not apply Recommended corrective action: Not apply	Objective evidence observed: Not apply

Observation:	
Description of observation: Not apply Local law or ETI requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply

Good Examples observed:	
Description of Good Example (GE):	Objective Evidence Observed:
Not apply	Not apply

8: Regular Employment Is Provided

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ETI

8.1 To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.

8.2 Obligations to employees under labour or social security laws and regulations arising from the regular employment relationship shall not be avoided through the use of labour-only contracting, sub-contracting, or home-working arrangements, or through apprenticeship schemes where there is no real intent to impart skills or provide regular employment, nor shall any such obligations be avoided through the excessive use of fixed-term contracts of employment.

Additional Elements: Responsible Recruitment

8.3 Suppliers have full understanding of the entire recruitment process and assess all labour recruiters and intermediaries against legal and/or ethical requirements.

8.4 There are effective management systems in place to identify and monitor the hiring and management of all migrant workers, contract workers, agency workers, temporary or casual labour. The supplier shall implement processes to enable adequate control over agencies with regards the above points and related legislation.

8.5 Employment agencies must only supply workers registered with them.

8.6 Workers pay no recruitment fee at any stage of the recruitment process.

8.7 Worker contracts accurately reflect the agreed payment and terms in the recruitment process and are understood and signed by workers.

Current Systems and Evidence Examined

Current systems:

- Ethical Trade Initiative
- The Policy of Hiring of the company is aligned to the country's labour legislation

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Documentation review
- Interviews

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Non-compliance:

1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against customer code: Not apply Local law and/or ETI requirement: Not apply Recommended corrective action: Not apply	Objective evidence observed: Not apply
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Observation:	
Description of observation: Not apply Local law or ETI requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply

Good Examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

Responsible Recruitment

All Workers	
A: Were all workers presented with terms of employment at the time of recruitment, did they understand them and are the same as current conditions?	<input checked="" type="checkbox"/> Terms & Conditions presented <input checked="" type="checkbox"/> Understood by workers <input checked="" type="checkbox"/> Same as actual conditions If any are unchecked, please describe finding and specific category(ies) of workers affected:
B: Did workers' pay any fees, taxes, deposits or bonds for the purpose of recruitment/placement?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes Please describe details and specific category(ies) of workers affected

C: If yes, check all that apply:	<input type="checkbox"/> Recruitment / hiring fees <input type="checkbox"/> Service fees <input type="checkbox"/> Application costs <input type="checkbox"/> Recommendation fees <input type="checkbox"/> Placement fees <input type="checkbox"/> Administrative, overhead or processing fees <input type="checkbox"/> Skills tests <input type="checkbox"/> Certifications <input type="checkbox"/> Medical screenings <input type="checkbox"/> Passports/ID's <input type="checkbox"/> Work / resident permits <input type="checkbox"/> Birth certificates <input type="checkbox"/> Police clearance fees <input type="checkbox"/> Any transportation and lodging costs after employment offer <input type="checkbox"/> Any transport costs between work place and home <input type="checkbox"/> Any relocation costs after commencement of employment <input type="checkbox"/> New hire training / orientation fees <input type="checkbox"/> Medical exam fees <input type="checkbox"/> Deposit bonds or other deposits <input type="checkbox"/> Any other non-monetary assets <input type="checkbox"/> Other
C: If any checked, give details:	Not apply

Migrant Workers:		
A: Type of work undertaken by migrant workers:	Not apply	
B: Migrant worker recruitment	Not apply	
C: Migrant workers' voluntary deductions (such as for remittances) confirmed in writing by the worker and evidence of transaction is supplied by the facility to the worker.	<input type="checkbox"/> Yes <input type="checkbox"/> No Please describe finding: Not apply	Observations
D: Are Any migrant workers in skilled, technical, or management roles	<input type="checkbox"/> Yes <input type="checkbox"/> No Not apply	

NON-EMPLOYEE WORKERS

Recruitment Fees:	
A: Are there any fees	<input type="checkbox"/> Yes <input type="checkbox"/> No Not apply
B: If yes, check all that apply:	<input type="checkbox"/> Recruitment / hiring fees <input type="checkbox"/> Service fees <input type="checkbox"/> Application costs <input type="checkbox"/> Recommendation fees <input type="checkbox"/> Placement fees <input type="checkbox"/> Administrative, overhead or processing fees

	<input type="checkbox"/> Skills tests <input type="checkbox"/> Certifications <input type="checkbox"/> Medical screenings <input type="checkbox"/> Passports/ID's <input type="checkbox"/> Work / resident permits <input type="checkbox"/> Birth certificates <input type="checkbox"/> Police clearance fees <input type="checkbox"/> Any transportation and lodging costs after employment offer <input type="checkbox"/> Any transport costs between work place and home <input type="checkbox"/> Any relocation costs after commencement of employment <input type="checkbox"/> New hire training / orientation fees <input type="checkbox"/> Medical exam fees <input type="checkbox"/> Deposit bonds or other deposits <input type="checkbox"/> Any other non-monetary assets <input type="checkbox"/> Other Not apply
C: If any checked, give details:	Not apply

Agency Workers (if applicable)	
A: Number of agencies used (average):	Not apply And names if available:
B: Were agency workers' age/pay/hours included within scope of this audit	<input type="checkbox"/> Yes <input type="checkbox"/> No Not apply
C: Were sufficient documents for agency workers available for review?	<input type="checkbox"/> Yes <input type="checkbox"/> No Not apply
D: Is there a legal contract / agreement with all agencies?	<input type="checkbox"/> Yes <input type="checkbox"/> No Not apply Details
E: Does the site have a system for checking labour standards of agencies? If yes, please give details.	<input type="checkbox"/> Yes <input type="checkbox"/> No Not apply Please describe:

Contractors:	
A: Any contractors on site?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please describe finding: If Y, how many contractors are present Not apply

B: If Yes , how many workers supplied by contractors	Not apply
C: Do all contractor workers understand their terms of employment?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please describe finding: Not apply
D: If Yes , please give evidence for contractor workers being paid per law:	Not apply

8A: Sub-Contracting and Homeworking

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8A.1 There should be no sub-contracting unless previously agreed with the main client.

8A.2 Systems and processes should be in place to manage sub-contracting, homeworking and external processing.

Note to auditor on homeworking:

Report on whether it is direct or via agents. How many workers, relationship with site and what control systems are in place.

Note to auditor on subcontracting : auditor should use this section for subcontractors of part made or wholly made finished goods, this section should not be used for raw material manufacturers unless instructed otherwise by customers

Current Systems and Evidence Examined

Current systems:

- Not apply

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

If any processes are sub-contracted – please populate below boxes

- Not apply

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Non-compliance:

1. Description of non-compliance:

☐ NC against ETI/Additional Elements

☐ NC against Local Law

☐ NC against customer code:

Not apply

Local law and/or ETI /Additional Elements requirement:

Not apply

Recommended corrective action:

Not apply

Objective evidence observed:

Not apply

Observation:

Description of observation: Not apply Local law or ETI/Additional elements requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply
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Good Examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

Summary of sub-contracting – if applicable	
<input checked="" type="checkbox"/> Not Applicable please x	
A: Has the auditor made a simple calculation to compare capacity with workers' work load in order to identify possible unrecorded work hours or undeclared sub-contracting	<input type="checkbox"/> Yes <input type="checkbox"/> No Please describe:
B: If sub-contractors are used, is there evidence this has been agreed with the main client?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes , summarise details:
C: Number of sub-contractors/agents used	
D: Is there a site policy on sub-contracting?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes , summarise
E: What checks are in place to ensure no child labour is being used and work is safe?	

Summary of homeworking – if applicable			
<input checked="" type="checkbox"/> Not Applicable please x			
A: If homeworking is being used, is there evidence this has been agreed with the main client?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes , summarise details:		
B: Number of homeworkers	Male:	Female:	Total:

C: Are homeworkers employed direct or through agents?	<input type="checkbox"/> Directly <input type="checkbox"/> Through Agents
D: If through agents, number of agents	Not apply
E: Is there a site policy on homeworking?	<input type="checkbox"/> Yes <input type="checkbox"/> No
F: How does site ensure worker hours and pay meet local laws for homeworkers?	Not apply
G: What processes are carried out by homeworkers?	Not apply
H: Do any contracts exist for homeworkers	<input type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
I: Are full records of homeworkers available at the site?	<input type="checkbox"/> Yes <input type="checkbox"/> No

9: No Harsh or Inhumane Treatment is Allowed

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ETI

9.1 Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited.

Additional elements:

9.2 companies should provide access to a confidential grievance mechanism for all workers

A: Are there published, anonymous and/or open channels available for reporting any violations of Labour standards and H&S or any other grievances to a 3 rd party?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please describe: Complaints and Suggestions Procedure
B: If Yes , are workers aware of these channels and have access? Please give details.	Workers are aware
C: If yes, what type of mechanism is used e.g. hotline, whistle blowing mechanism, comment box etc. Please give details.	Complaints and Suggestions Procedure
D: Is there a grievance mechanism in place for:	<input checked="" type="checkbox"/> Workers <input checked="" type="checkbox"/> Communities <input checked="" type="checkbox"/> Suppliers <input checked="" type="checkbox"/> Other Details: The grievance mechanism is for everyone
E: Are there any open disputes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, please give details
F: Does grievance mechanism meet with UNGP requirement of e.g. (Legitimate, Accessible, Predictable, Equitable, Transparent, Rights-compatible, a source of continuous learning and based on stakeholder engagement)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, please give details
G: Does the site \ encourage its business partners (e.g., suppliers) provide individuals and communities with access to effective grievance mechanisms (e.g., help lines or whistle blowing mechanism	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If No Please give details
H: Is there a published and transparent disciplinary procedure	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If No please explain
I: If yes, are workers aware of these the disciplinary procedure	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no please give details: Workers are aware

J: Does the disciplinary procedure allow for deductions from wages (fines) for disciplinary purposes (see wages section)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If Yes please give details Workers know the procedure
--	--

Current Systems and Evidence Examined
<p>Current systems:</p> <ul style="list-style-type: none"> Ethical Trade Initiative Complaints Form Procedure for Disciplinary Measures or Sanctions Complaints and Suggestions Procedure In the sample of interviews, detected problems of mistreatment from the administrative head, both for middle management workers and administrative workers <p>Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):</p> <p>Details:</p> <ul style="list-style-type: none"> Documentation review Interviews <p>Any other comments: No</p> <p>Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.</p>

Non-compliance:	
<p>1. Description of non-compliance:</p> <div style="display: flex; justify-content: space-between;"> <div> <input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against customer code: </div> <div> <input type="checkbox"/> NC against Local Law </div> </div> <p>In the sample of interviews, detected problems of mistreatment from the administrative head, both for middle management workers and administrative workers.</p> <p>Local law and/or ETI requirement:</p> <p>(9.6 No Harsh or Inhumane Treatment – Discipline & Grievance) Multiple reports from workers of harsh / inhumane treatment e.g. physical / sexual abuse</p> <p>Recommended corrective action:</p> <p>Improve the treatment for workers.</p>	<p>Objective evidence observed:</p> <p>Interviews</p>

Observation:

1-Description of observation: Not apply Local law or ETI requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply
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Good Examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

10. Other Issue areas: 10A: Entitlement to Work and Immigration

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Additional Elements

10A.1 Only workers with a legal right to work shall be employed or used by the supplier.

10A.2 All workers, including employment agency staff, must be validated by the supplier for their legal right to work by reviewing original documentation.

Current Systems and Evidence Examined

Current systems:

- There are no foreigners

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Documentation review

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Non-compliance:

1. Description of non-compliance:

- ☐ NC against ETI/Additional Elements
☐ NC against customer code:

☐ NC against Local Law

Not apply

Local law and/or ETI /Additional Elements requirement:

Not apply

Recommended corrective action:

Not apply

Objective evidence observed:

Not apply

Observation:

Description of observation: Not apply Local law or ETI/Additional Elements requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply
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Good examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

10. Other issue areas 10B2: Environment 2-Pillar

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10B2.1 Suppliers must comply with the requirements of local and international laws and regulations including having necessary permits.

10B2.2 The supplier should be aware of and comply with their end clients' environmental requirements. *Note for auditors and readers, This is not a full environmental assessment but a check on basic systems and management approach.*

Current Systems and Evidence Examined

Current systems:

- Environmental Policy
- Procedure for the operation of the central warehouse of solid waste
- Environment Regulation
- SENASA

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Documentation review

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Non-compliance:

1. Description of non-compliance:

☒ NC against ETI/Additional Elements

☐ NC against Local Law

☐ NC against customer code:

Observed that hazardous waste is not stored safely (fluorescent tubes) according to national legislation.

Local law and/or ETI/Additional Elements requirement:

(10B.12 Environment) Hazardous waste improperly handled / stored / disposed of

Recommended corrective action:

Improve safety measures.

Objective evidence observed:

Visit on site

Observation:

1-Description of observation:

Objective evidence observed:

Not apply	Not apply
Local law or ETI/additional elements requirement:	
Not apply	
Comments:	
Not apply	

Good examples observed:	
Description of Good Example (GE):	Objective Evidence Observed:
Not apply	Not apply

10. Other issue areas 10B4: Environment 4-Pillar

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B.4. Compliance Requirements

10B4.1 Businesses as a minimum must meet the requirements of local and national laws related to environmental standards.

10B4.2 Where it is a legal requirement, businesses must be able to demonstrate that they have the relevant valid permits including for use and disposal of resources e.g. water, waste etc.

10B4.3 Businesses shall be aware of their end client's environmental standards/code requirements

10B4.4 Suppliers should have an environmental policy, covering their environmental impact, which is communicated to all appropriate parties, including its own suppliers.

10B4.5 Suppliers shall be aware of the significant environmental impact of their site and its processes.

10B4.6 The site should measure its impacts, including continuous recording and regular reviews of use and discharge of natural resources e.g. energy use, water use (see 4-pillar audit report and audit checks for details).

10B4.7 Businesses shall make continuous improvements in their environmental performance.

10B4.8 Businesses shall have available for review any environmental certifications or any environmental management systems documentation

10B4.9 Businesses should have a nominated individual responsible for co-ordinating the site's efforts to improve environmental performance.

B4. Guidance for Observations

10B4.10 Suppliers should have completed the appropriate section of the SAQ and made it available to the auditor.

10B4.11 Has the site recently been subject to (or pending) any fines/prosecutions for noncompliance to environmental regulations.

Note for auditors and readers. This environment section is intended to take not more than 0.25 auditor days. It is an assessment only and the main requirement is to establish whether a site is meeting applicable environmental laws and/or has any certifications or environmental management systems in place. Following this assessment the client/supplier may decide a full environmental audit is required (see also best practice guidance/environment and guidance for auditor)

Current Systems and Evidence Examined

Current systems:

- Not apply

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Not apply

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Non-compliance:

1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local <input type="checkbox"/> NC against customer code: Not apply Local law and/or ETI/Additional Elements requirement: Not apply Recommended corrective action: Not apply	Objective evidence observed: Not apply
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Observation:	
Description of observation: Not apply Local law or ETI/Additional elements requirements: Not apply Comments: Not apply	Objective evidence observed: Not apply

Good examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

Environmental Analysis	
<i>(Site declaration only – this has not been verified by auditor. Please state units in all cases below.)</i>	
A: Responsible for Environmental issues (Name and Position):	Not apply
B: Has the site conducted a risk assessment on the environmental impact of the site, including implementation of controls to reduce identified risks	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply
C: Does the site have a recognised environmental system certification such as ISO 14000 or equivalent? Please detail.	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply
D: Does the site have an Environmental policy? <i>(For guidance, please see Measurement criteria)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, is it publicly available?
E: If yes, does it address the key impacts from their operations and their commitment to improvement?	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply
F: Does the site have a Biodiversity policy? <i>(For guidance, please see Measurement criteria)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No Not apply
G: Is there any other sustainability systems present such as Chain of Custody, Forest Stewardship Council (FSC), Marine Stewardship Council (MSC) etc.? Please detail. <i>(For guidance, please see Measurement criteria)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply
H: Have all legally required permits been shown? Please detail.	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply
I: Is there a documentation process to record hazardous chemicals used in the manufacturing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A Details: Not apply
J: Is there a system for managing client's requirements and legislation in the destination countries regarding environmental and chemical issues?	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply
K: Facility has reduction targets in place for environmental aspects e.g. water consumption and discharge, waste, energy and green-house gas emissions	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply
L: Facility has evidence of waste recycling and is monitoring volume of waste that is recycled.	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply

M: Facility has a system in place for accurately measuring and monitoring consumption of key utilities of water, energy and natural resources that follows recognised protocols or standards	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply	
N: Facility has checked that any Sub-Contracting agencies or business partners operating on the premises have appropriate permits and licences and are conducting business in line with environmental expectations of the facility	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: Not apply	
Usage/Discharge analysis		
Criteria	Previous year: Please state period	Current Year: Please state period:
Electricity Usage: Kw/hrs	Not apply	Not apply
Renewable Energy Usage: Kw/hrs	Not apply	Not apply
Gas Usage: Kw/hrs	Not apply	Not apply
Has site completed any carbon Footprint Analysis?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes , please state result	Not apply	Not apply
Water Sources: Please list all sources e.g. lake, river, and local water authority.	<ul style="list-style-type: none"> Not apply 	<ul style="list-style-type: none"> Not apply
Water Volume Used: (m ³)	Not apply	Not apply
Water Discharged:	<ul style="list-style-type: none"> Not apply 	<ul style="list-style-type: none"> Not apply
Water Volume Discharged: (m ³)	Not apply	Not apply
Water Volume Recycled: (m ³)	Not apply	Not apply
Total waste Produced	Not apply	Not apply
Total hazardous waste Produced:	Not apply	Not apply
Waste to Recycling:	Not apply	Not apply
Waste to Landfill:	Not apply	Not apply
Waste to other:	Not apply	Not apply
Total Product Produced	Not apply	Not apply

10C: Business Ethics – 4-Pillar Audit

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10C. Compliance Requirements

10C.1 Businesses shall conduct their business ethically without bribery, corruption, or any type of fraudulent Business Practice.

10C.2 Businesses as a minimum must meet the requirements of local and national laws related to bribery, corruption, or any type of fraudulent Business Practices.

10C.3 Where it is a legal requirement, businesses must be able to demonstrate that they comply with all fiscal legislative requirements.

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10C.7 Suppliers should ensure that the staff whose job roles carry a higher level of risk in the area of ethical Business Practice e.g. sales, purchasing, logistics are trained on what action to take in the event of an issue arising in their area.

10C. Guidance for Observations

10C.8 Businesses should communicate their Business Ethics policy, covering bribery, corruption, or any type of fraudulent Business Practice to all appropriate parties, including its own suppliers. .

10C.9 Has the site recently been subject to (or pending) any fines/prosecutions for non-compliance to Business Ethics regulations. If so is there evidence that sustainable corrective actions have been implemented

Note for auditors and readers. This Business Ethics section is intended to take not more than 0.25 auditor days. It is an assessment not an audit.

Current Systems and Evidence Examined

Current systems:

- Not apply

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Not apply

Any other comments: No

Note: The detail of findings (non-compliances, observations, and good examples) could be found in Annex 1 of this report.

Non-compliance:	
1. Description of non-compliance: <input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local <input type="checkbox"/> NC against customer code: Not apply Local law and/or ETI/Additional Elements requirement: Not apply Recommended corrective action: Not apply	Objective evidence observed: Not apply

Observation	
Description of observation: Not apply Local law or ETI/Additional elements requirement: Not apply Comments: Not apply	Objective evidence observed: Not apply

Good examples observed:	
Description of Good Example (GE): Not apply	Objective Evidence Observed: Not apply

A: Does the facility have a Business Ethics Policy and is the policy communicated and applied internally, externally or both, as appropriate?	<input type="checkbox"/> Internal Policy <input type="checkbox"/> Policy for third parties including suppliers Please give details: Not apply
B: Does the site give training to relevant personnel (e.g. sales and logistics) on business ethics issues	Not apply
C: Is the policy updated on a regular (as needed) basis?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Not apply

D: Does the site require third parties including suppliers to complete their own business ethics training	<input type="checkbox"/> Yes
	<input type="checkbox"/> No
	Please give details:
	Not apply

Other Findings

Other Findings Outside the Scope of the Code
None

Community Benefits
<p>Visit to the nursing home and a sharing was made.</p> <p>Economic contribution to an NGO of creative social court.</p>

Appendix 1

Corrective Action Plan

Corrective Action Plan – non-compliances									
Non-Compliance Number	New or Carried Over	Details of Non-Compliance	Root cause	Preventative and Corrective Actions	Timescale	Verification Method	Agreed by Management and Name of Responsible Person	Verification Evidence and Comments	Status
3.2.15.	Carried over, Health and safety, Major.	Identified the emergency exit of the fruit reception area, obstructed with fruit on pallets.	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Follow up	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
3.2.22.	Carried over, Health and safety, Major.	Detected an electrical risk by having fuse boxes or electrical panels open, and unsupervised areas.	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
3.3.3.	Carried, Chemicals Major.	Identified in the refrigeration area, the re-use of beverage containers. There is not an adequate signalling in the ammonia cylinder.	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
3.3.7.	Carried over, Health and safety, Major.	Identified oil derivatives in the coolers area, box storage area and workshop area.	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18

3.4.2.	New, Health and safety, Business Critical.	Observed fruit storage structures in cold chambers #6 and #8 that are unsafe (screws cut, rusted, missing and damaged, without safety guards).	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	Immediate	Follow up	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
3.5.1.	Carried over, Health and safety, Major.	<p>Observed during the site tour, two maintenance workers in the labour of welding that do not have the right PPE (mask for gases).</p> <p>Third-party workers of box gluing machines do not use PPE (gloves and ear plugs).</p>	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
3.5.2.	Carried over, Health and safety, Minor.	Observed safety harnesses that are badly maintained and stored.	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
3.6.19.	Carried over, Health and safety, Major.	<p>Identified in the workshop area, a gas cutting equipment that is not stored properly (hoses-cylinders).</p> <p>In the national market area, in the cargo bay there are no safety stops (rubbers) for cargo vehicles.</p> <p>Identified lack of order and cleanliness in the workshop area (obsolete), and poor distribution of loads. Observed dangerous wastes.</p>	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18

		Observed that the packing tables (stainless steel) have sharp edges.							
6.9.	Carried over, Working hours, Critical.	Identified workers with more than 72 working hours and up to 91 in the month of May, 2017 and also in March, 2018 (palletizer work, forklift work, typing and nursing).	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	60 Days	Follow up	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
6.15.	Carried over, Working hours, Major.	Identified workers with more than 60 working hours in the month of May, 2017 and March, 2018 (Chamber worker, packing, waiter, threshing, calibrate labour, and sanitation).	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	60 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
6.17.	New, Working hours, Minor.	Identified a worker in the pallets area, who worked for three weeks without taking his weekly rest day.	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18
9.6.	New, Discipline, Critical.	In the sample of interviews, detected problems of mistreatment from the administrative head, both for middle management workers and administrative workers.	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	Immediate	Follow up	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	In Progress, FER, 11-04-18
10B. 12	New, Environment, Critical.	Observed that hazardous waste is not stored safely (fluorescent tubes) according to national legislation.	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	--	30 Days	Desktop	Rafael Villa-García Devescovi / Yannina Lévano, Certifications Responsible	--	Open, FER, 11-04-18

Corrective Action Plan – Observations

Observation Number	New or Carried Over	Details of Observation	Root cause	Any improvement actions discussed
2.4.	Freedom of association	The worker's representatives must be workers without positions of responsibility, neither that representatives have workers in charge, temporary and permanent. Workers' representatives must be informed that this management is remunerated.	--	--
3.1.4.	Health and safety	Analyse the drowning procedure to include preventive measures (ropes, vest and others).	--	--
3.1.9.	Health and safety	Ensure that workers of forklift, pomegranate packing, receipt of fruit (avocado) and security, perform the evacuation effectively during the drills (stop their work and not turn off the alarm).	--	--
3.5.1.	Health and safety	Analyse in the matrix if the PPE (masks) are the ideal ones for the welding labours (metal vapours).	--	--
3.5.9.	Health and safety	Improve the signage of the avocado area (corridors).	--	--
3.6.7.	Health and safety	Analyse if the size of the medical room allows to provide first aid efficiently within this facility.	--	--
3.6.17.	Health and safety	Improve the procedure for analysing the results of water for human consumption, the procedure must be agile and guarantee the supply of quality.	--	--
5.7.	Wages	Guarantee a written authorization from workers for wage discounts.	--	--

Good Examples

Good Example Number	Details of good example noted	Any relevant Evidence and Comments
G-001	Motivation to workers through awards for assistance and suggestions.	--
G-002	The workers express good treatment by the middle managers.	--
G-003	Visit to the nursing home and a sharing was made.	--
G-004	During lunch, workers watch videos of awareness on values, waste management, harassment, culture, discrimination, among others.	--
G-005	Celebration at the end of the season, where recognition is given for father's day and mother's day.	--
G-006	The workers express the stability offered by the company, both economic and professional, and workers appreciate it.	--
G-006	Bonus for perfect attendance. Economic contribution to an NGO of creative social court.	--
G-006	Sport tournament. Values walk, Children visit to the packing house, Cinema day (family) and mural contest.	--

Appendix 2

<p>Comparison between ETI code and Customer's Supplier's Code. Any areas where a site complies with the Customer's Supplier Code, but not with the ETI code are discussed at the audit close out meeting and recorded on the CAPR. Note to supplier "for this customer it may not be necessary to complete corrective actions where NC's DO NOT meet the ETI code, but DO meet your customer's code. If the audit is shared with other customers who work to the ETI code or an equivalent international standard, corrective actions will be necessary."</p> <p><input type="checkbox"/> Not Applicable please x</p>	
<p>NOTE: The provisions of the ETI base Code constitute minimum and not maximum standards, and this code should not be used to prevent companies from exceeding these standards. Companies applying the ETI Base Code are expected to comply with national and other applicable law and, where the provisions of law and the ETI Base Code address the same subject, to apply that provision which affords the greater protection.</p>	<p>Instruction to Audit Company: fill in the relevant clauses from the Customer Supplier Code - where applicable.</p>
ETI Code / Additional Elements	Customer's Supplier Code equivalent
0.A. Universal Rights covering UNGP	0.A. Universal Rights covering UNGP
<p>0.A. Guidance for Observations</p> <p>0. A.1 Businesses should have a policy, endorsed at the highest level, covering human rights impacts and issues, and ensure it is communicated to all appropriate parties, including its own suppliers.</p> <p>0.A.2 Businesses should have a designated person responsible for implementing standards concerning Human rights</p> <p>0. A.3 Businesses shall identify their stakeholders and salient issues.</p> <p>0. A.4 Businesses shall measure their direct, indirect, and potential impacts on stakeholders (rights holders) human rights.</p> <p>0. A.5 Where businesses have an adverse impact on human rights within any of their stakeholders, they shall address these issues and enable effective remediation.</p> <p>0. A.6 Businesses shall have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter.</p>	
0.B. Management Systems & Code Implementation	0.B. Management Systems & Code Implementation
<p>0.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.</p>	

<p>0.2 Suppliers shall appoint a senior member of management who shall be responsible for compliance with the Code.</p> <p>0.3 Suppliers are expected to communicate this Code to all employees.</p> <p>0.4 Suppliers should communicate this code to their own suppliers and, where reasonably practicable, extend the principles of this Ethical Code through their supply chain.</p>	
ETI 1. Forced Labour	ETI 1. Forced Labour
<p>1.1 There is no forced, bonded or involuntary prison labour.</p> <p>1.2 Workers are not required to lodge "deposits" or their identity papers with their employer and are free to leave their employer after reasonable notice.</p>	
ETI 2. Freedom of association and the right to collective bargaining are respected	ETI 2. Freedom of association and the right to collective bargaining are respected
<p>2.1 Workers, without distinction, have the right to join or form trade unions of their own choosing and to bargain collectively.</p> <p>2.2 The employer adopts an open attitude towards the activities of trade unions and their organisational activities.</p> <p>2.3 Workers' representatives are not discriminated against and have access to carry out their representative functions in the workplace.</p> <p>2.4 Where the right to freedom of association and collective bargaining is restricted under law, the employer facilitates, and does not hinder, the development of parallel means for independent and free association and bargaining.</p>	
ETI 3. Working conditions are safe and hygienic	ETI 3. Working conditions are safe and hygienic
<p>3.1 A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.</p> <p>3.2 Workers shall receive regular and recorded Health & Safety training, and such training shall be repeated for new or reassigned workers.</p> <p>3.3 Access to clean toilet facilities and to potable water, and, if appropriate, sanitary facilities for food storage shall be provided.</p>	

<p>3.4 Accommodation, where provided, shall be clean, safe, and meet the basic needs of the workers.</p> <p>3.5 The company observing the code shall assign responsibility for Health & Safety to a senior management representative.</p>	
ETI 4. Child labour shall not be used	ETI 4. Child labour shall not be used
<p>4.1 There shall be no new recruitment of child labour.</p> <p>4.2 Companies shall develop or participate in and contribute to policies and programmes which provide for the transition of any child found to be performing child labour to enable her or him to attend and remain in quality education until no longer a child.</p> <p>4.3 Children and young persons under 18 shall not be employed at night or in hazardous conditions.</p> <p>4.4 These policies and procedures shall conform to the provisions of the relevant ILO Standards.</p>	
ETI 5. Living wages are paid	ETI 5. Living wages are paid
<p>5.1 Wages and benefits paid for a standard working week meet, at a minimum, national legal standards or industry benchmark standards, whichever is higher. In any event wages should always be enough to meet basic needs and to provide some discretionary income.</p> <p>5.2 All workers shall be provided with written and understandable information about their employment conditions in respect to wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid.</p> <p>5.3 Deductions from wages as a disciplinary measure shall not be permitted nor shall any deductions from wages not provided for by national law be permitted without the expressed permission of the worker concerned. All disciplinary measures should be recorded.</p>	
ETI 6. Working Hours are not excessive	ETI 6. Working Hours are not excessive
<p>6.1 Working hours must comply with national laws, collective agreements, and the provisions of 6.2 to 6.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.</p> <p>6.2 Working hours, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week.</p>	

<p>6.3 All overtime shall be voluntary. Overtime shall be used responsibly, taking into account all the following: the extent, frequency and hours worked by individual workers and the workforce as a whole. It shall not be used to replace regular employment. Overtime shall always be compensated at a premium rate, which is recommended to be not less than 125% of the regular rate of pay.</p> <p>6.4 The total hours worked in any 7 day period shall not exceed 60 hours, except where covered by clause 6.5 below.</p> <p>6.5 Working hours may exceed 60 hours in any 7 day period only in exceptional circumstances where all of the following are met:</p> <ul style="list-style-type: none"> – this is allowed by national law; – this is allowed by a collective agreement freely negotiated with a workers' organisation representing a significant portion of the workforce; – appropriate safeguards are taken to protect the workers' health and safety; and – The employer can demonstrate that exceptional circumstances apply such as unexpected production peaks, accidents or emergencies. <p>6.6 Workers shall be provided with at least one day off in every 7 day period or, where allowed by national law, 2 days off in every 14 day period.</p>	
ETI 7. No discrimination is practised	ETI 7. No discrimination is practised
<p>7.1 There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.</p>	
ETI 8. Regular employment is provided	ETI 8. Regular employment is provided
<p>8.1 To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.</p> <p>8.2 Obligations to employees under labour or social security laws and regulations arising from the regular employment relationship shall not be avoided through the use of labour-only contracting, sub-contracting, or home-working arrangements, or through apprenticeship schemes where there is no real intent to impart skills or</p>	

<p>provide regular employment, nor shall any such obligations be avoided through the excessive use of fixed-term contracts of employment.</p> <p>Additional Elements: Responsible Recruitment</p> <p>8.3 Suppliers have full understanding of the entire recruitment process and assess all labour recruiters and intermediaries against legal and/or ethical requirements.</p> <p>8.4 There are effective management systems in place to identify and monitor the hiring and management of all migrant workers, contract workers, agency workers, temporary or casual labour The supplier shall implement processes to enable adequate control over agencies with regards the above points and related legislation.</p> <p>8.5 Employment agencies must only supply workers registered with them.</p> <p>8.6 Workers pay no recruitment fee at any stage of the recruitment process.</p> <p>8.7 Worker contracts accurately reflect the agreed payment and terms in the recruitment process and are understood and signed by workers.</p>	
8A: Sub-Contracting and Homeworking	8A: Sub-Contracting and Homeworking
<p>8A.1 There should be no sub-contracting unless previously agreed with the main client.</p> <p>8A.2 Systems and processes should be in place to manage sub-contracting, homeworking and external processing.</p>	
ETI 9. No harsh or inhumane treatment is allowed	ETI 9. No harsh or inhumane treatment is allowed
<p>9.1 Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited.</p> <p>Additional elements:</p> <p>9.2 companies should provide access to a confidential grievance mechanism for all workers</p>	
10. Other Issue areas: 10A: Entitlement to Work and Immigration	
<p>Additional Elements</p> <p>10A.1 Only workers with a legal right to work shall be employed or used by the supplier.</p> <p>10A.2 All workers, including employment agency staff, must be validated by the supplier for their legal right to work by reviewing original documentation.</p>	
10. Other issue areas 10B2: Environment 2-Pillar	

<p>10B2.1 Suppliers must comply with the requirements of local and international laws and regulations including having necessary permits.</p> <p>10B2.2 The supplier should be aware of and comply with their end clients' environmental requirements.</p> <p><i>Note for auditors and readers, This is not a full environmental assessment but a check on basic systems and management approach.</i></p>	
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SMETA Extra Sections for 4 Pillar Audit:	SMETA Extra Sections for 4 Pillar Audit:
Environment Section	Environment Section
<p>B.4. Compliance Requirements</p> <p>10B4.1 Businesses as a minimum must meet the requirements of local and national laws related to environmental standards.</p> <p>10B4.2 Where it is a legal requirement, businesses must be able to demonstrate that they have the relevant valid permits including for use and disposal of resources e.g. water, waste etc.</p> <p>10B4.3 Businesses shall be aware of their end client's environmental standards/code requirements</p> <p>10B4.4 Suppliers should have an environmental policy, covering their environmental impact, which is communicated to all appropriate parties, including its own suppliers.</p> <p>10B4.5 Suppliers shall be aware of the significant environmental impact of their site and its processes.</p> <p>10B4.6 The site should measure its impacts, including continuous recording and regular reviews of use and discharge of natural resources e.g. energy use, water use (see 4-pillar audit report and audit checks for details).</p> <p>10B4.7 Businesses shall make continuous improvements in their environmental performance.</p> <p>10B4.8 Businesses shall have available for review any environmental certifications or any environmental management systems documentation</p> <p>10B4.9 Businesses should have a nominated individual responsible for co-coordinating the site's efforts to improve environmental performance.</p> <p>B4. Guidance for Observations</p> <p>10B4.10 Suppliers should have completed the appropriate section of the SAQ and made it available to the auditor.</p> <p>10B4.11 Has the site recently been subject to (or pending) any fines/prosecutions for noncompliance to environmental regulations.</p>	
Business Practices Section	

10C. Compliance Requirements

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10C.9 Has the site recently been subject to (or pending) any fines/prosecutions for non-compliance to Business Ethics regulations. If so is there evidence that sustainable corrective actions have been implemented.

Photo Form

	
<p>Observed safety harnesses that are badly maintained and stored.</p>	<p>Identified lack of order and cleanliness in the workshop area (obsolete), and poor distribution of loads. Observed dangerous wastes.</p>
	
<p>Detected an electrical risk by having fuse boxes or electrical panels open.</p>	<p>Analyse if the size of the medical room allows to provide first aid efficiently within this facility.</p>



Identified the emergency exit of the fruit reception area, obstructed with fruit on pallets.



There is not an adequate signalling in the ammonia cylinder.



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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:

[Click here for Buyer \(A\) & Buyer/Supplier \(A/B\) members:](https://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d)

[http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d](https://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d)

[Click here for Supplier \(B\) members:](https://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRglY_2brg_3d_3d)

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