



# SMETA Corrective Action Plan Report (CAPR)

Version 6.1



## Audit Content:

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

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

### 2-Pillar SMETA Audit

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

### 4-Pillar SMETA

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

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

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

## Guidance

The Corrective Action Plan Report summarises the site audit findings and a corrective, and preventative action plan that both the auditor and the site manager believe is reasonable to ensure conformity with the ETI Base Code, Local Laws and additional audited requirements. After the initial audit, the form is used to record actions taken and to categorise the status of the non-compliances.

N.B. observations and good practice examples should be pointed out at the closing meeting as well as discussing non-compliances and corrective actions.

To ensure that good practice examples are highlighted to the supplier and to give a more 'balanced' audit a section to record these has been provided on the CAPR document (see following pages) which will remain with the supplier. They will be further confirmed on receipt of the audit report.

### Root cause (see column 4)

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

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

### Next Steps:

1. The site shall request, via Sedex, that the audit body upload the audit report, non-compliances, observations and good examples. If you have not already received instructions on how to do this then please visit the web site [www.sedexglobal.com](http://www.sedexglobal.com).
2. Sites shall action its non-compliances and document its progress via Sedex.
3. Once the site has effectively progressed through its actions then it shall request via Sedex that the audit body verify its actions. Please visit [www.sedexglobal.com](http://www.sedexglobal.com) web site for information on how to do this.
4. The audit body shall verify corrective actions taken by the site by either a "Desk-Top" review process via Sedex or by Follow-up Audit (see point 5).
5. Some non-compliances that cannot be closed off by "Desk-Top" review may need to be closed off via a "1 Day Follow Up Audit" charged at normal fee rates. If this is the case, then the site will be notified after its submission of documentary evidence relating to that non-compliance. Any follow-up audit must take place within twelve months of the initial audit and the information from the initial audit must be available for sign off of corrective action.
6. For changes to wages and hours to be correctly verified it will normally require a follow up site visit. Auditors will generally require to see a minimum of two months wages and hours records, showing new rates in order to confirm changes (note some clients may ask for a longer period, if in doubt please check with the client).

Audit Details				
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC415074384	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS415317932	
Business name (Company name):	Northern Food Complex Company Limited			
Site name:	NORTHERN FOOD COMPLEX LIMITED COMPANY			
Site address:	99/3 Moo1 Chiangrai-Dongmada Road Maekorn Muang 57000 TH	Country:	TH	
Site contact and job title:	Ms. Kotchaporn Kudnanoi / Human Resource Manager			
Site phone:	+6653673985	Site e-mail:	m_konhong@yahoo.com	
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health and Safety (plus Environment 2-Pillar)	<input checked="" type="checkbox"/> Environment 4-pillar	<input checked="" type="checkbox"/> Business Ethics
Date of Audit:	2024-09-02			

Audit Company Name:
Intertek Thailand

Audit Conducted By					
Affiliate Audit Company	<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 Parameters			
Time in and time out	Day 1		
	In	09:00	
	Out	17:30	
Audit type:	PERIODIC		
Was the audit announced?	ANNOUNCED		
Was the Sedex SAQ available for review?	Yes		
Any conflicting information SAQ/Pre-Audit Info to Audit findings?	No		
Who signed and agreed CAPR	Ms. Kotchaporn Kudnanoi / Human Resource Manager		
Is further information available	No		

Audit attendance	Management	Worker Representatives	
		Worker Committee representatives	Union representatives
A: Present at the opening meeting?	Yes	No	No
B: Present at the audit?	Yes	No	No
C: Present at the closing meeting?	Yes	No	No
<i>Reason for absence at the opening meeting</i>	There is no Worker Committee/ Union established as it is not required by law. However, two (2) welfare committee representatives are interviewed during the audit.		
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<i>Reason for absence at the closing meeting</i>	There is no Worker Committee/ Union established as it is not required by law. However, two (2) welfare committee representatives are interviewed during the audit.		

## Summary of Findings

Issue <i>(please click on the issue title to go direct to the appropriate audit results by clause)</i>	Area of Non-Conformity		Number of issues			Findings
	ETI	Local Law	NC	Obs	GE	
<u>8 - Regular employment is provided</u>	8.4		1	0	0	NC - ZAF600611192
<u>5 - Living wages are paid</u>	5.1	§1	1	0	1	NC - ZAF600611193 GE - 73627708-de12-4cec-b173-15b76bb590a4
<u>6 - Working hours are not excessive</u>	6.3 6.5 6.6		3	0	0	NC - ZAF600611194 NC - ZAF600611197 NC - ZAF600611198
<u>3 - Working conditions are safe and hygienic</u>	3.1 3.1 3.1 3.1 3.1	§2 §3 §4 §5 §6	5	0	1	NC - ZAF600611195 NC - ZAF600611196 NC - ZAF600611199 NC - ZAF600611200 NC - 1b4a3799-a0af-48d2-94f2-9bd22d8fe6dd GE - f087b178-25bf-4162-9a04-c30f87d8a236
<u>0B - Management Systems and code implementation</u>			0	0	1	GE - 6ebb0e97-009a-48e4-a583-03a3fef52fbc
<u>10B4 - Environment 4-pillar</u>			0	0	1	GE - 5cf3b173-dfa0-45a0-9345-f243c3900b2d

## Local Law Issues

Issue	Description
§1	1. In accordance with the Notification of Wage Committee Re: Minimum Wage Rate (Issue No. 10) B.E. 2562, Clause 10: Minimum wage is Baht 315 per day in area of Chiangrai Province. 2. In accordance with the Notification of Wage Committee Re: Minimum Wage Rate (Issue No. 11) B.E. 2565, Clause 9: Minimum wage is Baht 332 per day in area of Chiangrai Province.
§2	1. In accordance with the Ministry of Industry Re: Fire prevention and protection in the factory B.E. 2552 Section 4 The facility building shall be provided with detection and fire alarm system throughout the building as appropriate to local conditions, especially in areas where there is no active task performance and installation or use electrical equipment or storage of flammable or combustible materials are easy to install detection devices and automatic alarm. 2. In accordance with the Ministry of Industry Re: Fire prevention and protection in the factory B.E. 2552 Section 4 Fire alarm equipment must be signaled without the need of electricity used for lighting and machinery or have the backup power supply for the system not less than 2 hours.
§3	In accordance with the Notification of Ministry of Industry Re: Fire prevention and protection in the factory B.E. 2552 Section 12 The factory which store materials or products which are flammable objects and the continued is 1,000 square meters or more, must install automatic fire extinguishing system such as automatic Sprinkler System or other equivalent coverage to that area.



§4	In accordance with Ministerial Regulations Re: The standards in the management and implementation of occupational health and safety in the work environment with dangerous chemicals B.E. 2556; Chapter 4 Storage, packaging and transport of hazardous chemicals, Clause 17: The employer storage facility for hazardous chemicals and having the following features; (8) A dam wall cofferdam walls or anything else that looks similar. To prevent trapping liquid hazardous chemicals. Out of the door on the storage of hazardous chemicals. And conduit, hazardous chemical spills to be collected for safe disposal. To prevent the accumulation of residues. Must be separated by a conduit drainage system.
§5	In accordance with Notification of the Ministry of Labour B.E. 2555 (A.D. 2012) Re: Prevention and suppression of fire in the factory, Chapter 2 Building safety and fire escapes, Clause 8: The employer shall provide a fire escape routes leading to all floors of the building at least two evacuation routes, which can be employed to work at the same time to secure the safe in less than five minutes.
§6	The Ministerial Regulation on the Prescribing of standard for administration and management of Occupational safety, health and environment relating to protection and prevention of fire B.E. 2555 (2012) Clause 9 The facility which consists of two storey building, or have the business area more than 300 square meters onwards, the employer shall install the fire alarm system at all storey.



## Corrective Action Plan - Non Compliances

Non-Compliance		Evidence																													
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The supplier shall implement processes to enable adequate control over agencies with regards the above points and related legislation.</td> </tr> <tr> <td>Explanation to the non compliance</td> <td> <p>It was noted that the facility has an no system to monitor the subcontracted security guard service (Lucky Security Guard Co., Ltd.) and the subcontracted janitor service (NT. Super Clean Limited Partnership.) to ensure the compliance with local law and ETI Base Code.</p> <p>1) There is non-compliance concerned the subcontracted security guard service as follows.</p> <p>1.1 One (1) subcontracted security guard worked more than 60 hours per week at 84 hours per week in August 2024 but it is complied with the local law.</p> <p>1.2 One (1) subcontracted security guard worked 13 consecutive days in August 2024.</p> <p>1.3 Auditors cannot be verified the wages of subcontracted security guard due to the wage's records have been kept at the head office of subcontracted security guard service.</p> <p>2) There is non-compliance concerned for the subcontracted janitor service as follow.</p> <p>2.1 Auditors cannot be verified the wages of subcontracted janitor service due to the wage's records have been kept at the head office of subcontracted janitor service.</p> </td> </tr> <tr> <td>Follow up method</td> <td> <input checked="" type="checkbox"/> Follow up audit                             <input type="checkbox"/> Desktop audit                         </td> </tr> <tr> <td>Timescale</td> <td> <input type="checkbox"/> Immediate                             <input type="checkbox"/> 30 days                             <input checked="" type="checkbox"/> 60 days                         </td> </tr> </tbody> </table>			Non-Compliance		Status	OPEN	Reference	ZAF600611192	Clause	8 - Regular employment is provided	Issue Title	550 - No / inadequate system in place to monitor labour providers	Subcategory	Labour Provider Management	New or carried over?	<input type="checkbox"/> New <input checked="" type="checkbox"/> Carried Over	Raised by audit	ZAA415962902	Root cause	<input type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input checked="" type="checkbox"/> Other	Root cause - Other	N/A	ETI code	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. 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	ensure following the local law and ETI Base Code.	
Additional comments	<p>The subcontractor security guard. It is in the procurement process for the subcontractor security guard received wage not less than THB 39.375 hour. Periodic audit on 27 – 28 September 2023: Open</p> <p>It was noted that based on payroll record review in December 2022, April 2023 and September 2023 found the subcontractor security guards receive wage THB 39.30 per hour instead of THB 41.5 hour which follow as minimum wage THB 332 per day for Chiangrai Province (effective since 1 October 2022). Periodic audit 2 September 2024: It was noted that auditors cannot be verified the wages of subcontracted security guard due to the wage's records have been kept at the head office of subcontracted security guard service. Remark: This finding will be closed, and it will be re-issued as a finding in section 8.</p> <p>Periodic audit 2 September 2024: It was noted that auditors cannot be verified the wages of subcontracted security guard due to the wage's records have been kept at the head office of subcontracted security guard service. Remark: This finding will be closed, and it will be re-issued as a finding in section 8.</p>	


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Additional comments	Based on site observation, the secondary containment has been provided for the chemical containers such as Sodium Acetate and Lactic Acid in the chemical storage area in the warehouse building B1. None observed.	

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## Corrective Action Plan - Good Examples

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## 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.

Auditor Team			
Lead Auditor:	Phatara Thitiwimol	APSCA Number:	21704393
Additional Auditors:	Parinya Ouarerun		21700715
	Rangsan Sukruang		21701580
Date of declaration:	2024-09-02		

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.

Site Representation	
Full Name:	Ms. Kotchaporn Kudnanoi
Title:	Human Resource Manager
Date of declaration:	2024-09-02
<b>Comments:</b> <i>Any exceptions to this must be recorded here (e.g. different sample size):  Sampled wage records from the past 5 months were provided for review (5 months only since the operation for digital thermometer just started last Sep 2020).  The audit took 2.0 man-days (9AM-6PM per day). Audit time was extended until 8PM due to the extent of documentation; this was agreed upon with the factory representatives</i>	
None observed.	

## Guidance on Root Cause

### Explanation of the Root Cause Column

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

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

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

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

### ***Some examples of finding a “root cause”***

#### Example 1

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

#### Example 2

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

#### Example 3

A site uses fines to control unacceptable behaviour of workers.

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

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

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

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

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



For more information visit: [Sedexglobal.com](https://www.sedexglobal.com)

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

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

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[http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw\\_3d\\_3d](http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3lnq5lw_3d_3d)

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