



**Follow-up review
for the organization**

3A&B, KAMANI ROAD, RIICO INDUSTRIAL AREA-302012, JAIPUR

**4C, KAMANI ROAD, JHOTWARA INDUSTRIAL AREA-302012,
JAIPUR**

SA8000 Follow-up Review

Certificate number: 17 114 1737557

1 Summary

Lead Auditor : Anuja Behal

Review Date : 29.09.2022

Stage : ☐ After surveillance 1 ☒ After surveillance 2

☐ Special reason: _____

Audit result : Previous nonconformities -evidences of corrective actions were verified and implementation effectiveness of the NC will be verified during the next on-site visit

One minor nonconformities have been established.

2 Objective and process

Follow-up reviews are routinely conducted by the Certification Body to monitor the activities of certified organizations and to ensure the ongoing commitment to their SA8000 management system, monitoring and improvement of performance. Follow-up reviews are usually conducted approximately six months after each annual on-site surveillance audit but may be undertaken at any time, if required. While a follow-up review is typically conducted via remote electronic communication with the certified organization's representatives, e.g. by SKYPE conference call or telephone call plus electronic document sharing, a follow-up review can also be conducted on-site and/or over a longer period when required.

3 Results of the review

Organization's representatives interviewed (add as applicable)	
Mr. Vikas Sharma	Position: Management Representative
Mr. Vikas Sharma	Position: H & S incharge
Mr. Ashok Kumar (Unit 1) and Ms. Asha Sharma (Unit 2)	Position: WR

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Are there currently any extraordinary events affecting the company?

E.g. natural disaster, war, terrorist attacks, political unrest, pandemic?

No ☒ Skip to next section. Yes ☐ Details:

Currently there are no any extraordinary events affecting the company.

What is the impact on the organization?

This follow up review audit conducted after the Second surveillance audit. There is no travel restrictions by the government at present. Work in the factory has come to normal in terms of order or workers strength as compared to the last year.

What is the impact on the organization's business?

The orders now drastically increasing as compared with the same period last year in the factory. Buyers are giving time for delivery of current order and have given future order. Now factory is running with complete strength.

Estimate when the organization will be able to function normally?

Organization is working normally with full strength since Feb 2022

Will the organization need to use alternative manufacturing and/or distribution sites? If so, are these currently covered under the current certification or will they need to be evaluated?

No ☒ Skip to next question Yes ☐ Details:

Will some of the processes and/or services performed or products shipped be subcontracted to other organizations? If so, how will the other organizations' activities be controlled by the certified organization?

No ☒ Skip to next question Yes ☐ Details:

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Specific issues related to COVID-19 pandemic

Have specific risks identified and included in the risk assessment?

Does the risk assessment include the risks listed in the SAI "COVID-19 Guidelines"?

No ☐ Yes ☒ Details:

Health and safety risk assessment dated 04.06.2022. Management has reviewed the risk assessment on 11.06.2022. The amended risk assessment has been communicated to all personnel .

Are suitable mitigation actions defined? What is the implementation status / plan?

No ☐ Yes ☒ Details:

The workers are given proper training about the risk assessment, Health & Safety/ SA 8000 awareness/ PPE. Verified the training records dated 05.07.2022. The company has provided mask and sanitizer at the entrance and inside the factory premises. The company ensures that the workers are wearing the appropriate PPE's as identified in the risk assessment.

Are mitigation actions embedded in the management system (procedural change)?

No ☐ Yes ☒ Details:

SPT has amended the risk assessment i.e Health and safety and was reviewed on 04.06.2022 as per SOP/Guideline. The same SOP/guideline has communicated to top management.

Are sufficient resources allocated to implement the mitigation measures?

No ☐ Yes ☒ Details:

Management has provided all the resources as per mitigation measures i.e PPE kits , thermal scanning activities and sanitization procedure.

Does the company verify the effectiveness of the newly defined mitigation measures?

If a mitigation measure is not effective, does the company perform root cause analysis and revise the measure as needed?

No ☐ Yes ☒ Details:

The company has formed a taskforce with the SPT and health and safety committee members to ensure all the procedures and protocols are effectively followed in the facility. The health and safety committee members regularly inspect the workplace to ensure the workers and staff follow all the safety protocols. The SOP's are displayed in local language for the understanding of the workers. Health and safety committee 25-26.08.2022

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Organization's changes since previous audit

Relocation, addition or deletion of locations?

No ☒ Skip to next question

Yes ☐ Details:

Change of processes, properties and operations of a continuous process or premises?

No ☒ Skip to next question

Yes ☐ Details:

Addition of shifts or machines?

No ☒ Skip to next question

Yes ☐ Details:

The company works in one general shift of 8 hours each with a break for lunch and tea.

Shift time for workers:

9.00am to 6.00pm (1 lunch break). Lunch break: 1.00pm to 1.30pm

Tea breaks- 11:30am to 11:45 am and 04:30 pm to 04:45 pm

The working hours include legally required breaks and rest periods

Change in number of employees?

No ☒

Yes ☐ Details:

Total number of employees: 100 (Unit 1) 45 (Unit 2)

Total number of contract workers: 137 (Unit 1) 200 (Unit 2)

Impact of above changes on the management system, working hours, health and safety, ...

No ☒ Skip to next question

Yes ☐ Details:

Change of key personnel? E.g. owner, top management, management representative, worker representative, ...

No ☒ Skip to next question

Yes ☐ Details:

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Organization operations and certification scope

Certification scope: Manufacture and Export of Paper products and stationery Items

Site 1: 3A&B, KAMANI ROAD, RIICO INDUSTRIAL AREA, JAIPUR.

Site 2: 4C, KAMANI ROAD, JHOTWARA INDUSTRIAL AREA, JAIPUR

Certification scope appropriate for the organizations operations? (e.g. compared with business license, website).

Yes ☒ Skip to next question

No ☐ Details:

Factory Licence-

Unit-I Factory license no. RJ/27246 valid up to 31.03.2023 for 500 workers and 206 HP

Unit-II license no. RJ/32347 valid till 31.3.2022 for 500 workers and 200 HP.

Advertisement of organization's SA8000 certification correct and not misleading (e.g. in webpage, marketing material).

Yes ☒ Describe

No ☐ Details:

The organisation has represented its SA8000 certification in an acceptable manner and is not misleading

Outsourced processes (if any) appropriately incorporated into management system and scope?

N/A ☒

Yes ☐ Describe

No ☐ Details:

Certification Status:

☐ No NC's open ☒ Minor NC's open ☐ Major NC's open

☐ Time Bound NC's open

Comments: The certificate can be continued, however one minor nonconformities have been established in the follow-up review and verification of corrective action taken against last audit NCs will be done in the next on-site surveillance audit.

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Previously open non-conformities (see finding tracking table)

NC number / issue raised (e.g: NC7/ overtime control)	Status: Open or Closed	Description of status of corrective action and evidence provided
<p>NC 25:</p> <p>The organisation's health and safety management system was not found to be fully effective</p> <ol style="list-style-type: none">1. During documents review it was noted that facility had applied the factory layout plan (unit-I&II) and Fire NOC unit-II on 10.02.200 & 05.02.2022 respectively for the changes of the company name as per the legal documents like Factory Licence & GST Certificate.2. During factory tour, it was noted that factory had not displayed the load capacity of loading lift goods in unit-II	OPEN	<p>Management had provided photo evidences as below :</p> <p>Correction action:</p> <p>Management has received the Building Plan and Fire NOC after regular follow ups</p> <p>Safety Instructions and load capacity was displayed near to the goods lift</p> <p>Corrective actions:</p> <p>Management has instructed the SPT members ,Maintenance team and HR department to closely monitor the legal requirements and electrical requirements during pandemic too . Also training frequency has been increased for all staff and workers for the SA 8000 requirements and same has been added in the internal training and monitoring checklist</p> <p>But effectiveness will be verified during the coming On site audit.</p>

Auditor notes or comments: Health & Safety non conformity is partially Closed based on submitted correction and corrective actions, But Verification will be done in next onsite audit

Health and Safety (SA8000:2014, clause 3.5)

Health and Safety Committee established and comprised of a well-balanced group of management representatives and workers?

Yes ☒ No ☐

Total number of members: 5

Name of worker representative(s)/union member(s): Mr. Ashok Kumar (Unit 1) and Ms. Asha Sharma (Unit 2)

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Comments H &S committee was established in the company which consists of management, health and safety representative and supervisors, its responsibilities include conducting formal, periodic health and safety assessments, incident investigation and health and safety inspection etc.

Committee meetings?

Frequency of meetings: Quarterly

Date of last meeting: 25-26.08.2022

Topic discussed: Plant status , Improvement in safety training and improve EHS management etc..

Training of committee members?

Frequency of training: half yearly

Date of last training: 05.07.2022

Records available? Yes ☒ No ☐

Training was given on Health & Safety/PPE and Chemical usage on 05.07.2022 to the Health & Safety members and workers.

Periodic occupational health and safety risk assessments conducted to identify and address current and potential health and safety hazards? Records of assessment and corrective and preventive action taken available?

Yes ☒ No ☐

Frequency of assessment: Half yearly

Date of last risk assessment: 04.06.2022 reviewed on 11.06.2022

Details: The factory completed a risk assessment for Production and supporting activities, Fire , Transmittable & Non Transmittable diseases , new, expectant and nursing mothers to minimize risks particular to them in order to remove and reduce workplace and job risks. Factory assesses risks of natural disaster and other emergency conditions. Management has added the potential safety hazards in the risk assessment and same has communicated to all employee. Training and SOP are communicated to all employee on regular basis.

Management System (SA8000:2014, clause 9.4, 9.6, 9.8)

How does the SPT monitor workplace activities?

Details: : Regular inspection for SA8000:2014 standard is carried out by the SPT, which covered elements of management system, such as Child labour, discrimination, disciplinary practices and wages etc.

Interaction with other departments to study, define, analyze and/or address any possible non-conformance(s) to the SA8000 Standard?

Details/evidence: SPT team held the meeting to inform the nonconformities to the relevant departments, require the relevant departments to analyze the causes, correct NCs and formulate the corrective action, then the SPT regularly checks the implementation of the corrective and corrective action, and if needed the SPT discusses the implementation effectiveness of the corrective measures with the relevant departments.

Internal audits:

Frequency: 6 monthly

Date of last audit: 12.05.2022

Covers all elements of SA8000? Yes ☒ No ☐

Result:

Internal audit was conducted once in 6 months. The last internal audit was conducted on 12.05.2022 and 2 NC were raised which was discussed in the MRM conducted on 11.06.2022 . The audit plan, checklist, list of participants and nonconformity report were checked.

SPT monitoring reports to senior management?

Frequency: Six Monthly

Date of last audit: 12.05.2022

Corrective and preventive actions included? Yes ☒ No ☐

Senior management demonstrates knowledge and understanding? Yes ☒ No ☐

Comments: The SPT discusses SA8000 topics with the top management once every six months through the management review meeting.

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SPT meetings to review progress and identify potential actions to strengthen implementation of SA8000?

Frequency: Six Monthly

Date of last meeting: 22.08-2022

Result/improvement actions: Provide a smooth communication channel between management, employee representatives and employees and social responsibility objectives were achieved on time. In general, social responsibility management system was operated well.

Complaint management and resolution:

Grievance procedure available and accessible to employees and other stakeholders in appropriate language(s)?

Yes ☒ No ☐

Details: The factory has established a management system procedure for collecting employee's opinions, suggestions, appeal handling and complaints. Complaint / suggestion box is provided in the plant and opened once in a month. Workers can meet HR manager directly or through Supervisor and through the worker representative. Grievance Handling Committee meeting was done on 26.08.2022 (Unit 1) & 25.08.2022 (Unit 2)

Grievances and complaints received:

Number of complaints/grievances since last audit: Nil

Results freely available to all personnel, and upon request, to interested parties?

Yes ☒ No ☐

Details: No complaint received so far

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Corrective and preventive actions:

Policies and procedures available for the prompt implementation of corrective and preventive actions?

Yes ☒ No ☐

Details: The factory established nonconformity, corrective and prevention action procedure issued on 11.06.2022 (MRM date). The procedure stipulates management and SPT are responsible for collecting, investigating, handling the accidents, incidents and non conformances, and reporting to general manager.

Records of NC's related to SA8000, root causes, corrective and preventive actions, implementation results available?

Yes ☒ No ☐

Details: There were 2 (two) NCs in internal audit, and the SPT maintain records, including their root causes, the corrective and preventive action taken and implementation results but onsite verification will done during onsite audit .

How does the SPT monitor the implementation of corrective and preventive actions?

Details/evidence maintained: The SPT establish timelines, regular checks implementation of corrective action, internal communication etc. and conduct periodic meetings to review progress and identify potential actions to strengthen implementation of the Standard.

4 Attachments

- Nonconformity Reports (if applicable)

5 Guidance Note

If the follow-up review identifies weaknesses/findings against the performance of the certified company to SA8000 requirements 3.5, 9.4, 9.6 or 9.8, the lead auditor shall raise a nonconformity citing “inadequate demonstration of commitment to management systems principles within the organization’s SA8000 Policy (SA8000, 9.1.2)” and further details/evidence of the infraction(s) as follows:

In the case of minor, isolated (non-systemic) failure to demonstrate commitment, a minor nonconformity shall be raised. Further actions shall be reviewed during the next scheduled audit visit.

In the case of broad, or systemic, lack of commitment, a major nonconformity shall be raised. A special audit needs to be conducted on-site within 8 weeks to review responses and further actions undertaken (potentially leading to a recommendation for suspension of certification).

If the certified organization did not implement their proposed corrective action plan within the time frame agreed by TÜV Rheinland, a critical NC shall be raised and the organization’s SA8000 certification be suspended and then ultimately withdrawn.

In exceptional circumstances (such as illness or departure of key personnel within the certified organization, a one-off extension of a maximum of 6 weeks may be given against the timelines stated in the CAP. Any extension shall be formally documented by TÜV Rheinland.