

SMETA Corrective Action Plan Report (CAPR)

Version 4.0 May 2012, 2/4 Pillar Audit; replaces version 2.4. Sept 2010

Supplier name:	FORTEKS TEKSTIL SAN VE TIC LTD STI	
Site country:	TURKEY / TURKIYE	
Site name:	FORTEKS TEKSTIL SAN VE TIC LTD STI	
SMETA Audit Type:	<input checked="" type="checkbox"/> 2-Pillar	<input type="checkbox"/> 4-Pillar

Audit Content:

(1) A SMETA audit was conducted which included some or all of Labour Standards, Health and Safety Business Practices and Environment. The SMETA Best Practice Methodology v.4.0 May 2012 was applied. 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:
Please check appropriate SMETA Audit Type in the above box:

2-Pillar SMETA Audit

- ETI Base Code
- SMETA Additions
 - o Management systems and code implementation,
 - o Entitlement to Work & Immigration,
 - o Sub-Contracting and Home working

4-Pillar SMETA Audit

- o 2-Pillar requirements plus
- o Additional Pillar assessment of Environment
- o Additional Pillar assessment of Business Practices

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.





Audit Company Name: SGS TURKEY	Report Owner (payee): FORTEKS TEKSTIL SAN VE TIC LTD STI
Sedex Company Reference: (only available on Sedex System):	S 000000059869
Sedex Site Reference: (only available on Sedex System)	P 000000129055

Audit Conducted By			
Commercial	<input checked="" type="checkbox"/>	Purchaser	<input type="checkbox"/>
NGO	<input type="checkbox"/>	Retailer	<input type="checkbox"/>
Trade Union	<input type="checkbox"/>	Brand Owner	<input type="checkbox"/>
Multi-stakeholder	<input type="checkbox"/>	Combined Audit (select all that apply)	

Auditor Reference Number: (If applicable)	N/A
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Audit Details

Audit Details	
A: Report #:	IS14K0-0412
B: Date of audit:	20.08.2014
C: Time in and time out: Please see Best Practice Guidance page	Time in: 09:30 Time out: 16:30
D: Number of Auditor Days Used: (number of auditor x number of days)	2 (2 Auditors/Denetçi X 1 day/gün)
E: Audit type:	<input type="checkbox"/> Full Initial <input checked="" type="checkbox"/> Periodic <input type="checkbox"/> Full Follow-up Audit <input type="checkbox"/> Partial Follow-Up <input type="checkbox"/> Partial Other – Define
F: Was the audit announced?	<input checked="" type="checkbox"/> Announced <input type="checkbox"/> Semi – announced <input type="checkbox"/> Unannounced
G: Was the Sedex SAQ available for review?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If no, why not?	NA
I: Auditor name(s) and role(s):	ILKER KARAKAVUK – LEAD AUDITOR / BAS DENETCI SERAP TUMEN – AUDITOR / DENETCI
J: Report written by:	ILKER KARAKAVUK
K: Report reviewed by:	SERAP TUMEN
L: Report issue date:	27.08.2014
M: Supplier name:	FORTEKS TEKSTIL SAN VE TIC LTD STI
N: Site name:	FORTEKS TEKSTIL SAN VE TIC LTD STI
O: Site country:	TURKEY / TURKIYE
P: Site contact and job title:	ALI ERCAN – IK SORUMLUSU / HR RESPONSIBLE
Q: Site address:	UGUR MUMCU MAH ATATURK BULVARI CAD. 2316 SK.NO:4 SULTANGAZI / ISTANBUL
Site phone:	0090 212 476 00 72
Site fax:	0090 212 668 98 18

Site e-mail:	ali@fortekstekstil.com.tr			
R: Applicable business and other legally required licence numbers: for example, business license no, and liability insurance	Is Yeri Acma ve Çalıştırma Ruhsatı No ve Tarihi (2. Bina): 2008/161 (30.07.2008) Workplace Opening and Operating Permit Nb and Date (2 nd Building): 2008/161 (30.07.2008)			
S: Products/Activities at site, for example, garment manufacture, electricals, toys, grower	DENIM GARMENTS / DENIM DIS GIYIM			
T: Audit results reviewed with site management?	Yes / Evet			
U: Who signed and agreed CAPR (Name and job title)	ALI ERCAN – IK SORUMLUSU / HR RESPONSIBLE			
V: Did the person who signed the CAPR have authority to implement changes?	Yes / Evet			
W: Previous audit date:	07.03.2013			
X: Previous audit type:		SMETA 2-Pillar	SMETA 4-Pillar	Other
	Full Initial	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Periodic	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Full Follow-Up Audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Partial Follow-Up	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Partial Other*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
*If other, please define: NA				

Guidance:

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

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

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

Root cause (see column 4)

Note: it is not mandatory to complete this column at this time.

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 Appendix 2.5 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.
2. Sites shall action its non-compliances and document its progress via Sedex.
3. Once the site has effectively progressed through its actions then it shall request via Sedex that the audit body verify its actions. Please visit www.sedexglobal.com web site for information on how to do this.
4. The audit body shall verify corrective actions taken by the site by either a "Desk-Top" review process via Sedex or by Follow-up Audit (see point 5).
5. Some non-compliances that cannot be closed off by “Desk-Top” review may need to be closed off via a “1 Day Follow Up Audit” charged at normal fee rates. If this is the case then the site will be notified after its submission of documentary evidence relating to that non-compliance. Any follow-up audit must take place within twelve months of the initial audit and the information from the initial audit must be available for sign off of corrective action.
6. For changes to wages and hours to be correctly verified it will normally require a follow up site visit. Auditors will generally require to see a minimum of two months wages and hours records, showing new rates in order to confirm changes (note some clients may ask for a longer period, if in doubt please check with the client).

Corrective Action Plan

Corrective Action Plan – non-compliances									
Non-Compliance Number <i>The reference number of the non-compliance from the Audit Report, for example, Discrimination No.7</i>	New or Carried Over <i>Is this a new non-compliance identified at the follow-up or one carried over (C) that is still outstanding</i>	Details of Non-Compliance <i>Details of Non-Compliance</i>	Root cause <i>(completed by the site)</i>	Preventative and Corrective Actions <i>Details of actions to be taken to clear non-compliance, and the system change to prevent re-occurrence (agreed between site and auditor)</i>	Timescale <i>(Immediate, 30, 60, 90, 180, 365)</i>	Verification Method <i>Desktop / Follow-Up [D/F]</i>	Agreed by Management and Name of Responsible Person: <i>Note if management agree to the non-compliance, and document name of responsible person</i>	Verification Evidence and Comments <i>Details on corrective action evidence</i>	Status <i>Open/Closed or comment</i>
Saglık ve Guvenlik No.3 / Health and Safety No.3 (LL) (1)	YENI / NEW	<p>Isletmede 1. Bina ve 2. Binadaki ikinci ana acil çıkış kapılarının tanımsız olduğu; 2. Bina ikinci ana acil çıkış kapısının içeri doğru açıldığı görülmüştür. Ayrıca, yemekhanede ikinci acil çıkış kapısı tanımsızdır ve içeri doğru açılmaktadır.</p> <p>It was noted that second main emergency exits in both 1st building and 2nd building were not identified; second main emergency exit in 2nd building was opened inwards. In addition, second emergency exit in lunch hall was not identified and opened inwards.</p>		<p>Lütfen tüm acil çıkış kapılarının dışarı doğru açılmasını ve tanımlı olmasını sağlayınız.</p> <p>It is recommended that all emergency exits should be marked properly and opened outwards.</p>	60 days / 60 gün	MASAUSTU / DESKTOP	EVET / YES ALI ERCAN		

Sağlık ve Güvenlik No.3 / Health and Safety No.3 (LL) (2)	YENI / NEW	Is Yeri Açma ve Çalıştırma Ruhsatı 1. Bina için mevcut değildir. There was no Workplace Opening and Operating Permit for 1 st building		Lütfen Is Yeri Açma ve Çalıştırma Ruhsatını ediniz. It is recommended that Workplace Opening and Operating Permit should be provided.	90 days / 90 gün	MASAUSTU / DESKTOP	EVET / YES ALI ERCAN		
Sağlık ve Güvenlik No.3 / Health and Safety No.3 (LL) (3)	YENI / NEW	Periyodik kontrol raporlarının bazılarında uygunsuzlukların not edildiği görülmüştür (10.03.2014 tarihli ısıtma ve buhar kazanları; 10.03.2014 tarihli asansörler ve 03.06.2014 tarihli vinç için mevcut raporlar). Ayrıca kompresör için periyodik kontrol raporu mevcut değildir. It was noted that non compliances were noted on some periodical inspection reports (Reports which were given for heating and steam boilers on 10.03.2014; for lifts on 10.03.2014 and for crane on 03.06.2014). In addition, there was no periodical inspection report for compressor.		Lütfen fenni muayenelerin yetkili kişilerce en az yılda bir yapılmasını ve ekipmanların kullanıma uygunluk kayıtlarının muhafaza edilmesini sağlayınız. It is recommended that periodical inspections should be done at least once in a year by authorized person and records shows that the equipments were suitable for use should be kept.	60 days / 60 gün	MASAUSTU / DESKTOP	EVET / YES ALI ERCAN		

Sağlık ve Güvenlik No.3 / Health and Safety No.3 (LL) (4)	YENI / NEW	İşletmede bazı dikim makinalarında göz ve kasnak koruyucularının; ayrıca çakma makinalarında ikinci parmak koruyucularının olmadığı görülmüştür. It was noted that eye and pulley guards were missing on some sewing machines and also second finger guards were not available on attachment machines.	-	Lütfen ilgil tüm makina koruyucularını sağlayınız. It is recommended that all related machine guards should be provided.	60 days / 60 gün	MASAUSTU / DESKTOP	EVET / YES ALI ERCAN		
Sağlık ve Güvenlik No.3 / Health and Safety No.3 (LL) (5)	YENI / NEW	Leke çıkarma bölümünde uygun havalandırma sisteminin bulunmadığı görülmüştür. It was noted that there was no appropriate ventilation system in spot cleaning area.	-	Lütfen leke çıkarma bölümünde uygun havalandırma sisteminin bulunmasını sağlayınız. It is recommended appropriate ventilation system should be provided.	60 days / 60 gün	MASAUSTU / DESKTOP	EVET / YES ALI ERCAN		
Sağlık ve Güvenlik No.3 / Health and Safety No.3 (LL) (6)	YENI / NEW	Leke çıkarma bölümünde mevcut koruyucu maskenin uygun olmadığı (filtresi eksik) görülmüştür. Protective mask in spot cleaning area was not appropriate (filter was missing).	-	Lütfen uygun koruyucu maske sağlayınız. It is recommended that appropriate protective mask should be provided.	30 days / 30 gün	MASAUSTU / DESKTOP	EVET / YES ALI ERCAN		

Çalışma saatleri No.6 / Working hours No.6 (LL) (1)	YENI / NEW	Çalışan beynalarına göre günlük toplam (normal + fazla mesai) çalışma saatlerinin bazı günlerde 11 saati aştığı görülmüştür. According to employee interviews, it was noted that daily total (regular + overtime) working hours exceeded 11 hours in some days.	-	Lütfen günlük toplam çalışma saatlerini 11 saat ile sınırlandırınız. It is recommended that daily total working hours should be limited to 11 hours.	60 days / 60 gün	TAKIP DENETİMİ / FOLLOW UP	EVET / YES ALI ERCAN		
Çalışma saatleri No.6 / Working hours No.6 (LL) (2)	YENI / NEW	İncelenen zaman, ödeme kayıtları ve çalışan görüşmeleri arasında tutarsızlık mevcuttur. Dolayısıyla, fazla mesai saatleri kayıtlardan doğrulanamamıştır. There were inconsistencies between time, wage records and employee interviews. Therefore, overtime hours could not be verified from records.	-	Lütfen uygun zaman ve ödeme kaydı tutulmasını sağlayınız. It is recommended that time and wage records should be kept properly.	60 days / 60 gün	TAKIP DENETİMİ / FOLLOW UP	EVET / YES ALI ERCAN		
Odemeler ve Haklar No.5 / Wages and Benefits No.5 (LL) (1)	Yeni / New	Çalışanlara yapılan ödemelerin tümü SGK'ya bildirilmemektedir. Maaşların bir kısmı ve fazla mesai tutarları çalışanlara elden nakit olarak verilmektedir. It was noted that total payment amounts were not registered to Social	-	Çalışanlara yapılan tüm ödemeler SGK'ya bildirilmelidir. Whole payment amounts should be registered to Social Security Foundation and	365 gün / 365 days	TAKIP DENETİMİ / FOLLOW UP	EVET / YES ALI ERCAN		

		Security Foundation completely. Some amount of wages and overtime payments are paid by cash non-officially.		to be paid in official manner.					
Odemeler ve Haklar No.5 / Wages and Benefits No.5 (LL) (2)	Yeni / New	<p>İncelenen zaman, ödeme kayıtları ve çalışan görüşmeleri arasında tutarsızlık mevcuttur. Dolayısıyla, fazla mesai ödemeleri kayıtlardan doğrulanamamıştır.</p> <p>There were inconsistencies between time, wage records and employee interviews. Therefore, overtime wages could not be verified from records.</p>	-	<p>Lütfen uygun zaman ve ödeme kaydı tutulmasını sağlayınız.</p> <p>It is recommended that time and wage records should be kept properly.</p>	60 days / 60 gün	TAKIP DENETİMİ / FOLLOW UP	EVET / YES ALI ERCAN		
Cocuk İşçilik No.4 / Child Labour No.4 (LL) (1)	Yeni / New	<p>İsletmede 1 genc çalışan mevcuttur (01.04.1997). Genc çalışan için haftalık çalışma süresi 40 saati aşmaktadır (45 saat) ve bazı günler fazla mesai çalışması yapmıştır.</p> <p>There is 1 young worker in the facility (01.04.1997). Weekly working hours for young worker exceeded 40 hours (45 hours) and she performed overtime practices on some days.</p>	-	<p>Lütfen genc çalışanlar için haftalık çalışma saatini 40 saat ile sınırlayınız ve fazla mesai çalışması yapmalarını sağlayınız.</p> <p>It is recommended that weekly working hours should be limited to 40 hours and young workers should not perform any overtime practice.</p>	30 days / 30 gün	TAKIP DENETİMİ / FOLLOW UP	EVET / YES ALI ERCAN		

Corrective Action Plan – Observations									
Non-Compliance Number <i>The reference number of the observation from the Audit Report, for example, Discrimination No.7</i>	New or Carried Over <i>Is this a new observation identified at the follow-up or one carried over (C) that is still outstanding</i>	Details of Observation <i>Details of Observation</i>	Root cause <i>(completed by the site)</i>	Preventative and Corrective Actions <i>Details of actions to be taken to clear non-compliance, and the system change to prevent re-occurrence (agreed between site and auditor)</i>	Timescale <i>(Immediate, 30, 60, 90, 180, 365)</i>	Verification Method <i>Desktop / Follow-Up [D/F]</i>	Agreed by Management and Name of Responsible Person: <i>Note if management agree to the non-compliance, and document name of responsible person</i>	Verification Evidence and Comments <i>Details on corrective action evidence</i>	Status <i>Open/Closed or comment</i>
		YOKTUR / NONE							

Good examples		
Good example Number <i>The reference number of the non-compliance from the Audit Report, for example, Discrimination No.7</i>	Details of good example noted	Any relevant Evidence and Comments
Ödemeler ve Haklar No.5 (1) / Wages and Benefits Nb.5 (1)	Yemek işçilere ücretsiz olarak sağlanmaktadır. Meal is provided free of charge to employees.	Yönetim ve çalışan görüşmeleri, ödeme kayıtları / Management and worker interviews, payment records
Ödemeler ve Haklar No.5 (2) / Wages and Benefits Nb.5 (2)	İşletmede personellere ücretsiz servis sağlanmaktadır. It was noted that transportation is provided to workers free of charge.	Yönetim ve çalışan görüşmeleri, ödeme kayıtları / Management and worker interviews, payment records

Confirmation

Please sign this document confirming that the above findings have been discussed with and understood by you: (site management)		
Site Representative Signature:	ALI ERCAN	Title : IK SORUMLUSU / HR RESPONSIBLE Date : 20.08.2014
Auditor Signature:	ILKER KARAKAVUK SERAP TUMEN	Title : BAS DENETCI / LEAD AUDITOR DENETCI / AUDITOR Date : 20.08.2014
Please indicate below if you, the site management, dispute any of the findings <i>I dispute the following numbered non-compliances:</i>		
YOKTUR/ NONE		
Signed:	ALI ERCAN	Title : IK SORUMLUSU / HR RESPONSIBLE Date : 20.08.2014
Site Comments:		
YOKTUR/ NONE		

Appendix 2.5 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.

**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 A & AB members:

http://www.surveymonkey.com/s.aspx?sm=riPsbE0PQ52ehCo3Inq5lw_3d_3d

Click here for B members:

http://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRgIY_2brg_3d_3d



For more information on Sedex please go to www.sedexglobal.com
or email helpdesk@sedexglobal.com
