



# SMETA Corrective Action Plan Report (CAPR)

Version 6.1



Audit Details			
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC: 408702094	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS: 408834503
Business name (Company name):	Imprenta y Editorial La Selecta		
Site name:	Selecta Envases		
Site address: <i>(Please include full address)</i>	Avenida Lo Errazuriz 135, Cerrillos	Country:	Chile
Site contact and job title:	Patricio Garcia – Deputy Quality Manager		
Site phone:	+562 24844800	Site e-mail:	pgarcia@selectaenvases.cl
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health & Safety (plus Environment 2-Pillar)	<input checked="" type="checkbox"/> Environment 4-pillar <input checked="" type="checkbox"/> Business Ethics
Date of Audit:			

<b>Audit Company Name &amp; Logo:</b>   SGS Certificaciones SPA	<b>Report Owner (payer):</b> <i>(If paid for by the customer of the site please remove for Sedex upload)</i>   Imprenta y Editorial La Selecta
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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 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.

## 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.

### Initial Audit

Any exceptions to this must be recorded here (e.g. different sample size):

Auditor Team (s) (please list all including all interviewers):

Lead auditor: Mauricio Saldaña

Team auditor: Carolina Godoy

Interviewers: Mauricio Saldaña – Carolina Godoy

Report writer: Mauricio Saldaña

Report reviewer: Chathuri C Mohan(21/01/2023)

Date of declaration: 13.12.2022

### On site follow Up

Any exceptions to this must be recorded here (e.g. different sample size):

Auditor Team (s) (please list all including all interviewers):

Lead auditor: Mauricio Saldaña

Team auditor: N/A

Interviewers: Mauricio Saldaña

Report writer: Mauricio Saldaña

Report reviewer:

Date of declaration: 20.04.2023

*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.*

## Audit Parameters

Audit Parameters			
A: Time in and time out	Day 1 Time in: 09:00 Day 1 Time out:17:00  Day 1 Time in: 10:00 Day 1 Time out:14:00	Day 2 Time in: 09:00 Day 2 Time out:13:00	Day 3 Time in: Day 3 Time out:
B: Number of auditor days used:	2.5 0.5		
C: Audit type:	<input type="checkbox"/> Full Initial <input checked="" type="checkbox"/> Periodic <input type="checkbox"/> Full Follow-up <input checked="" type="checkbox"/> Partial Follow-Up <input type="checkbox"/> Partial Other If other, please 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 <b>Yes</b> , please capture detail in appropriate audit by clause		
G: Who signed and agreed CAPR (Name and job title)	Patricio Garcia – Deputy Quality Manager		
H: Is further information available (if yes, please contact audit company for details)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
I: Previous audit date:	22 de Junio del 21 – 20 April-2023		
J: Previous audit type:	Seguimiento Inicial		
K: Were any previous audits reviewed for this audit	<input type="checkbox"/> Yes <input checked="" 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 type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input 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 checked="" type="checkbox"/> Yes <input type="checkbox"/> No
D: If Worker Representatives were not present please explain reasons why (only complete if no worker reps present)	There are no worker representatives. No hay camios durante la auditoria de seguimiento		
E: If Union Representatives were not present please explain reasons why: (only complete if no union reps present)	N/A No hay camios durante la auditoria de seguimiento		



## 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)

**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).

## 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>
NC01 06 Working Hours	New	<p>Los trabajadores de la empresa de seguridad y de la empresa de casino, no siempre firman el libro de manera adecuada, para el primero se evidencia que no firman los días que realizan turnos extras y para el segundo caso se evidencia que existen días en los cuales no firman su horario de salida.</p> <p><i>The workers of the security company and the casino company do not always sign the book properly, for the first it is evident that they do not sign the days that they perform extra shifts and for the second case it is evident that there are</i></p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>Asegúrese que las empresas de servicios registren en el libro de asistencia de manera adecuada, cada vez que se encuentran en las instalaciones y a las horas definidas.</p> <p><i>Make sure that the service companies register in the attendance book in an adequate way, each time they are in the facilities and at the defined hours.</i></p>	60	Follow Up	Patricio Garcia	<p>La compañía realiza reuniones con los gerentes de cada empresa de servicio, se puede evidenciar Capacitación correcto registro del libro de asistencia, Casinos integrados con fecha 29.12.2022, además mensualmente el encargado de las empresas de servicio realiza revisiones del correcto llenado de los libros de asistencia. A la fecha se puede evidenciar que los libros de asistencia se llenan de manera adecuada.</p>	Cerrado

		days in which They don't sign their time out.							
NC02 06 Working Hours	New	<p>Los trabajadores de la empresa de seguridad cuando realizan turnos extras, estos no se registran en su liquidación de sueldo, por lo que no se evidencia el pago de obligaciones laborales para los pagos de turnos extras.</p> <p>The workers of the security company when they work extra shifts, these are not registered in their salary statement, so the payment of labor obligations for the payments of extra shifts is not evidenced.</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>Asegúrese que se cancelen todos los montos recibidos por los trabajadores en las liquidaciones de sueldo, permitiendo así que se cancelen las obligaciones laborales por el monto total recibido por los trabajadores.</p> <p>Make sure that all the amounts received by the workers are canceled in the salary settlements, thus allowing labor obligations to be canceled for the total amount received by the workers.</p>	60	Follow Up	Patricio Garcia	<p>Durante la auditoria, se entrevista al guardia presente, se revisa su libro de asistencia, conjunto con ello se entrevista al encargado de servicios de Selecta y se puede evidenciar que la empresa ha tomado las medidas necesarias para poder cerrar el hallazgo.</p> <p>Se evidencian reuniones entre selecta y la empresa de seguridad en la cual el tema principal evaluado son las liquidaciones y que estas se reflejen el pago de los turnos en las liquidaciones.</p> <p>A la fecha durante la muestra verificada no se evidencian turnos extras posterior a las reuniones.</p>	Cerrado
NC03 06 Working Hours	New	<p>Durante la revisión de los documentos del personal de Casino Integrados SA no se evidencia el pago de horas extras durante los meses de Octubre y Noviembre 2022</p>	<input type="checkbox"/> Training <input checked="" type="checkbox"/> Systems <input type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	<p>Tome las acciones necesarias y revisiones adecuadas para que el personal de casinos integrados reciba el pago integro de todas las horas extras realizadas.</p>	60	Follow Up	Patricio Garcia	<p>Selecta con su Encargado de servicios realiza visitas diarias e inspecciones entre otros temas correcto registro de horas extras y pago de ellas, las cuales se ven reflejadas en sus liquidaciones, además de mantener reuniones</p>	Cerrada

		During the review of the documents of the personnel of Casino Integrados SA, there is no evidence of the payment of overtime during the months of October and November 2022		Take the necessary actions and proper revisions so that integrated casino staff receive full payment for all overtime performed.				constantes con los representantes de la compañía, a la fecha los trabajadores se encuentran registrando adecuadamente los libros y sus horas extras son canceladas de manera adecuada durante la revisión meses de ENERO FEBRERO Y MARZO.	
NC04 06 Working Hours	New	Se evidencia exceso de horas, por sobre lo permitido por la legislación local vigente para los trabajadores directos. Hasta 87 horas extras en el mes de enero 2022, 59 en el mes de Julio 2022, 56 en septiembre 2022  There is evidence of excess hours, above what is allowed by current local legislation for direct workers. Up to 87 overtime hours in the month of January 2022, 59 in the month of July 2022, 56 in September 2022	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input checked="" type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	Asegúrese que los trabajadores no excedan el límite de horas extras permitidos por ley.  Make sure workers do not exceed the overtime limit allowed by law.	90	Follow Up	Patricio Garcia	El gerente general emite directriz a producción para una planificación adecuada, para evitar así el exceso de horas extras, a la fecha estas han disminuido, si bien no se han eliminado, estas se encuentran dentro de lo permitido por la legislación local vigente. Se verifican liquidaciones de sueldo, registros de asistencia.	Cerrado
NC05 06 Working Hours	New	Cuando los trabajadores realizan labores en días festivos y/o domingo estos son cancelados con una bonificación o compensados, lo que permite que los trabajadores prefieran	<input type="checkbox"/> Training <input type="checkbox"/> Systems <input checked="" type="checkbox"/> Costs <input type="checkbox"/> lack of workers <input type="checkbox"/> Other – please give details:	Asegúrese que los trabajadores reciban a lo menos un día libre cada 6 trabajados o dos en un periodo de 14	90	Follow Up	Patricio Garcia	La compañía eliminó los trabajos en domingo, se entrevista a los trabajadores y estos confirman que estos ya no se hacen turnos en días domingo.	Cerrado



		<p>que se bonifiquen esos días y no sean compensados, lo que implica que existan trabajadores que laboren mas de 14 días sin a lo menos dos días de descanso en el periodo.</p> <p>When workers perform work on holidays and/or Sundays, these are canceled with a bonus or compensated, which allows workers to prefer those days to be bonused and not be compensated, which implies that there are workers who work more than 14 days without at least two days of rest in the period.</p>		<p>Make sure workers get at least one day off for every 6 or two worked in a 14-day period</p>					
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Corrective Action Plan – Observations				
Observation 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>	Any improvement actions discussed <i>(Not uploaded on to SEDEX)</i>
Obs 01	New	Si bien la compañía administra los requisitos del estándar como sistema de gestión en salud y seguridad, medioambiente y ética de los negocios lo que permite dar cumplimiento a los principios del protocolo, a la fecha no es posible evidenciar que se integren estos sistemas.		



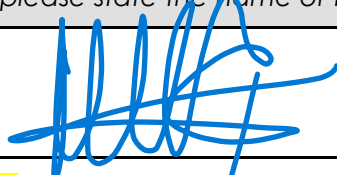
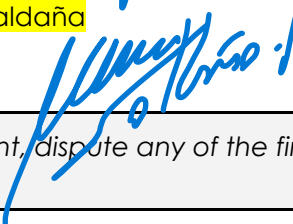
		Although the company manages the requirements of the standard as a health and safety, environmental and business ethics management system, which allows compliance with the principles of the protocol, to date it is not possible to demonstrate that these systems are integrated.		
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### Good examples

Good example Number <i>The reference number of the good example from the Audit Report, for example, Discrimination No.7</i>	Details of good example noted	Any relevant Evidence and Comments
GE 01	<p>En el plan de responsabilidad social, se apadrinan instrucciones, en el año 2021 Jardín infantil Oreste Plath y el presente año Club de adulto Mayor</p> <p><i>In the social responsibility plan, instructions are sponsored, in the year 2021 Oreste Plath Kindergarten and this year Club for the Elderly</i></p>	<p>Se revisa mediante entrevistas y fotografías el trabajo realizado por la empresa y sus trabajadores.</p> <p><i>The work carried out by the company and its workers is reviewed through interviews and photographs.</i></p>



## Confirmation

<p><b>Please sign this document confirming that the above findings have been discussed with and understood by you:</b> (site management)  <i>If actual signatures are not possible in electronic versions, please state the name of the signatory in applicable boxes, as indicating the signature.</i></p>		
A: Site Representative Signature:	<p>Patricio Garcia</p> 	<p>Title: Sub gerente de Calidad</p> <p>Date: 20.04.2023</p>
B: Auditor Signature:	<p>Mauricio Saldaña</p> 	<p>Title: Auditor Líder APSCA</p> <p>Date : 20.04.2023</p>
<p>C: Please indicate below if you, the site management, dispute any of the findings. No need to complete D-E, if no disputes.</p>		
<p>D: I dispute the following numbered non-compliances:</p>		
E: Signed: (If <u>any</u> entry in box D, please complete a signature on this line)		<p>Title</p> <p>Date</p>
<p>F: Any other site Comments:</p>		



## 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:

[Click here for Buyer \(A\) & Buyer/Supplier \(A/B\) members:](#)

[http://www.surveymonkey.com/s.aspx?sm=riPsbEoPQ52ehCo3lnq5lw\\_3d\\_3d](http://www.surveymonkey.com/s.aspx?sm=riPsbEoPQ52ehCo3lnq5lw_3d_3d)

[Click here for Supplier \(B\) members:](#)

[http://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRglY\\_2brg\\_3d\\_3d](http://www.surveymonkey.com/s.aspx?sm=d3vYsCe48fre69DRglY_2brg_3d_3d)

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