



Corrective Action Request


CAR .01. of..07

Major Minor

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|-------------------------------------|---|-----------------------------|-----------------------------|
| Organization: | Soorly Enterprises (Pvt.) Limited | | |
| Site(s) audited: | 03 (Head Office+02 Sites) | Date(s) of audit(s): | 26-28 July, 2017 |
| Auditor(s): | Maqbool Imran Ahmed , Nadia Asghar and Abdul Razziq Muhammad (Observer) | | |
| Standard(s): | SA 8000:2014 | | |
| Organization Representative: | Aarish Aleem (Manager System & Compliance) | | |
| Area / Department / Process: | Health & Safety | | |
| Document Ref.: | -- | Standard Ref.: | Clause 3.6 |
| Issue/Rev. Status: | -- | CAR Close out date: | Upcoming Surveillance Audit |

Details of Non-Conformity:

The organization has found provide to personnel, on a regular basis, health and safety training, but these are not included, repeated for new and reassigned personnel, where incidents have occurred, and when changes in technology and/or the introduction of new machinery present new risks to the health and safety of personnel.

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| Organization Representative: | | Auditor: |  |
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Cause Analysis and Corrective Action taken to prevent recurrence:

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| Organization Representative: | | Date: | |
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Acceptance of Corrective Action / Comments (use additional sheets if necessary):

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| Auditor: | | Date: | |
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| Response required (in months) | Major | | Minor | |
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| Corrective Action must be addressed within time frame stated. Verification of action will occur at next visit. Additional follow up may be required as indicated. | Define | Close Out | Define | Close Out |
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|-----------------|---------|-------------|---------------------------|-----------|--------|
| Job / Cert. n°: | PK12625 | Visit Type: | Surveillance + Transition | Visit n°: | 05 |
| Document: | GS0401 | Issue n°: | 5 | Page n°: | 1 of 7 |



Corrective Action Request

CAR .02.. of..07


Major Minor

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|-------------------------------------|---|-----------------------------|-----------------------------|
| Organization: | Soorty Enterprises (Pvt.) Limited | | |
| Site(s) audited: | 03 (Head Office+02 Sites) | Date(s) of audit(s): | 26-28 July, 2017 |
| Auditor(s): | Maqbool Imran Ahmed , Nadia Asghar and Abdul Razziq Muhammad (Observer) | | |
| Standard(s): | SA 8000:2014 | | |
| Organization Representative: | Aarish Aleem (Manager System & Compliance) | | |
| Area / Department / Process: | Policies, Procedures and Records | | |
| Document Ref.: | -- | Standard Ref.: | Clause 9.1.2, & 9.1.7 |
| Issue/Rev. Status: | -- | CAR Close out date: | Upcoming Surveillance Audit |

Details of Non-Conformity:

SAAS/SAI contact details and the relevant CB contact details are not conspicuously displayed on the organization's policy statement.

Soorty Enterprises (Pvt.) Ltd. found regularly conducts management reviews, but in last management review which was conducted on 17 May 2017 couldn't portray that reviews of its policy statement, policies, procedures implement in line of the SA 8000:2014 Standard requirement, in order to continually improve.

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| Organization Representative: | | Auditor: |  |
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Cause Analysis and Corrective Action taken to prevent recurrence:

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| Organization Representative: | | Date: | |
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Acceptance of Corrective Action / Comments (use additional sheets if necessary):

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| Auditor: | | Date: | |
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| Response required (in months) | Major | | Minor | |
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| Corrective Action must be addressed within time frame stated. Verification of action will occur at next visit. Additional follow up may be required as indicated. | Define | Close Out | Define | Close Out |
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| Job / Cert. n°: | PK12625 | Visit Type: | Surveillance + Transition | Visit n°: | 05 |
| Document: | GS0401 | Issue n°: | 5 | Page n°: | 2 of 7 |



Corrective Action Request

CAR .03.. of..07


Major Minor

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|-------------------------------------|---|-----------------------------|-----------------------------|
| Organization: | Soorty Enterprises (Pvt.) Limited | | |
| Site(s) audited: | 03 (Head Office+02 Sites) | Date(s) of audit(s): | 26-28 July, 2017 |
| Auditor(s): | Maqbool Imran Ahmed , Nadia Asghar and Abdul Razziq Muhammad (Observer) | | |
| Standard(s): | SA 8000:2014 | | |
| Organization Representative: | Aarish Aleem (Manager System & Compliance) | | |
| Area / Department / Process: | Social Performance Team | | |
| Document Ref.: | -- | Standard Ref.: | Clause 9.2.1 |
| Issue/Rev. Status: | -- | CAR Close out date: | Upcoming Surveillance Audit |

Details of Non-Conformity:

Procedure on SPT has been found established. However, during interview with SPT members it was found that few members (i.e. 04 out of 12) were could not demonstrate;

- Knowledge and understanding of their role regarding the organization's full and sustained compliance with SA8000:2014, with continual improvement.
- that they have clear authority from senior management to carry out their responsibilities.
- that they are properly trained and have sufficient resources to carry out their roles.

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| Organization Representative: | | Auditor: |  |
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Cause Analysis and Corrective Action taken to prevent recurrence:

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| Organization Representative: | | Date: | |
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Acceptance of Corrective Action / Comments (use additional sheets if necessary):

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| Auditor: | | Date: | |
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| Response required (in months) | Major | | Minor | |
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| Corrective Action must be addressed within time frame stated. Verification of action will occur at next visit. Additional follow up may be required as indicated. | Define | Close Out | Define | Close Out |
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| Job / Cert. n°: | PK12625 | Visit Type: | Surveillance + Transition | Visit n°: | 05 |
| Document: | GS0401 | Issue n°: | 5 | Page n°: | 3 of 7 |

Corrective Action Request

CAR .04.. of..07

Major Minor

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|-------------------------------------|---|-----------------------------|-----------------------------|
| Organization: | Soorty Enterprises (Pvt.) Limited | | |
| Site(s) audited: | 03 (Head Office+02 Sites) | Date(s) of audit(s): | 26-28 July, 2017 |
| Auditor(s): | Maqbool Imran Ahmed , Nadia Asghar and Abdul Razziq Muhammad (Observer) | | |
| Standard(s): | SA 8000:2014 | | |
| Organization Representative: | Aarish Aleem (Manager System & Compliance) | | |
| Area / Department / Process: | Identification and Assessment of Risks | | |
| Document Ref.: | -- | Standard Ref.: | Clause 9.3.1 |
| Issue/Rev. Status: | -- | CAR Close out date: | Upcoming Surveillance Audit |

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| Details of Non-Conformity: | | | |
| <p>Periodic Risk Assessment found conducted. However, Social Performance Team (SPT) could not participated in last written risk assessments to identify and prioritise the areas of actual or potential non-conformance with the Standard, prioritise risks according to their severity and probability, and recommend actions to Senior Management on how to address identified risks.</p> | | | |
| Organization Representative: | | Auditor: |  |

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| Cause Analysis and Corrective Action taken to prevent recurrence: | | | |
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| Organization Representative: | | Date: | |

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| Acceptance of Corrective Action / Comments (use additional sheets if necessary): | | | |
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| Auditor: | | Date: | |

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| Response required (in months) Corrective Action must be addressed within time frame stated. Verification of action will occur at next visit. Additional follow up may be required as indicated. | Major | | Minor | |
| | Define | Close Out | Define | Close Out |
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| Job / Cert. n°: | PK12625 | Visit Type: | Surveillance + Transition | Visit n°: | 05 |
| Document: | GS0401 | Issue n°: | 5 | Page n°: | 4 of 7 |




Corrective Action Request

CAR .05.. of..07

Major Minor

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|-------------------------------------|---|-----------------------------|-----------------------------|
| Organization: | Soorty Enterprises (Pvt.) Limited | | |
| Site(s) audited: | 03 (Head Office+02 Sites) | Date(s) of audit(s): | 26-28 July, 2017 |
| Auditor(s): | Maqbool Imran Ahmed , Nadia Asghar and Abdul Razziq Muhammad (Observer) | | |
| Standard(s): | SA 8000:2014 | | |
| Organization Representative: | Aarish Aleem (Manager System & Compliance) | | |
| Area / Department / Process: | Monitoring | | |
| Document Ref.: | -- | Standard Ref.: | Clause 9.4.2 |
| Issue/Rev. Status: | -- | CAR Close out date: | Upcoming Surveillance Audit |

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| Details of Non-Conformity: | | | |
| <p>SPT members could not facilitate in last routine internal audits;</p> <ul style="list-style-type: none"> In-depth analysis of the SA8000:2014 compliance function, Review current practices, policies, and procedures as per SA8000:2014 requirement. | | | |
| Organization Representative: | | Auditor: |  |

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| Cause Analysis and Corrective Action taken to prevent recurrence: | | | |
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| Organization Representative: | | Date: | |

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| Acceptance of Corrective Action / Comments (use additional sheets if necessary): | | | |
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| Auditor: | | Date: | |

| Response required (in months) | Major | | Minor | |
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| Corrective Action must be addressed within time frame stated. Verification of action will occur at next visit. Additional follow up may be required as indicated. | Define | Close Out | Define | Close Out |
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| Job / Cert. n°: | PK12625 | Visit Type: | Surveillance + Transition | Visit n°: | 05 |
| Document: | GS0401 | Issue n°: | 5 | Page n°: | 5 of 7 |

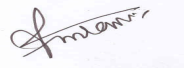


Corrective Action Request

CAR .06.. of..07

Major Minor

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|-------------------------------------|---|-----------------------------|-----------------------------|
| Organization: | Soorty Enterprises (Pvt.) Limited | | |
| Site(s) audited: | 03 (Head Office+02 Sites) | Date(s) of audit(s): | 26-28 July, 2017 |
| Auditor(s): | Maqbool Imran Ahmed , Nadia Asghar and Abdul Razziq Muhammad (Observer) | | |
| Standard(s): | SA 8000:2014 | | |
| Organization Representative: | Aarish Aleem (Manager System & Compliance) | | |
| Area / Department / Process: | Internal Involvement and Communication | | |
| Document Ref.: | -- | Standard Ref.: | Clause 9.5.1 |
| Issue/Rev. Status: | -- | CAR Close out date: | Upcoming Surveillance Audit |

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| Details of Non-Conformity: | | | |
| Most of the interviewed personnel (i.e. 07 out of 15) couldn't demonstrate the effective understanding of requirements of SA8000:2014. | | | |
| Organization Representative: | | Auditor: |  |

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| Cause Analysis and Corrective Action taken to prevent recurrence: | | | |
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| Organization Representative: | | Date: | |

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| Acceptance of Corrective Action / Comments (use additional sheets if necessary): | | | |
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| Auditor: | | Date: | |

| Response required (in months) | Major | | Minor | |
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| | Define | Close Out | Define | Close Out |
| Corrective Action must be addressed within time frame stated. Verification of action will occur at next visit. Additional follow up may be required as indicated. | | | | |

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|-----------------|---------|-------------|---------------------------|-----------|--------|
| Job / Cert. n°: | PK12625 | Visit Type: | Surveillance + Transition | Visit n°: | 05 |
| Document: | GS0401 | Issue n°: | 5 | Page n°: | 6 of 7 |




Corrective Action Request

CAR .07.. of..07

Major Minor

| | | | |
|-------------------------------------|---|-----------------------------|-----------------------------|
| Organization: | Soorty Enterprises (Pvt.) Limited | | |
| Site(s) audited: | 03 (Head Office+02 Sites) | Date(s) of audit(s): | 26-28 July, 2017 |
| Auditor(s): | Maqbool Imran Ahmed , Nadia Asghar and Abdul Razziq Muhammad (Observer) | | |
| Standard(s): | SA 8000:2014 | | |
| Organization Representative: | Aarish Aleem (Manager System & Compliance) | | |
| Area / Department / Process: | Management of Suppliers and Contractors | | |
| Document Ref.: | -- | Standard Ref.: | Clause 9.10.1 |
| Issue/Rev. Status: | -- | CAR Close out date: | Upcoming Surveillance Audit |

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| Details of Non-Conformity: | | | |
| Soorty Enterprises Industries doesn't conduct monitoring activities of its prioritized supplier/subcontractor's performance on an ongoing basis to leverage its control and influence throughout its supply chain in order to encourage socially accountable practices among its suppliers/subcontractors. | | | |
| Organization Representative: | | Auditor: |  |

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| Cause Analysis and Corrective Action taken to prevent recurrence: | | | |
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| Organization Representative: | | Date: | |

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| Acceptance of Corrective Action / Comments (use additional sheets if necessary): | | | |
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| Auditor: | | Date: | |

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|---|--------------|-----------|--------------|-----------|
| Response required (in months) | Major | | Minor | |
| Corrective Action must be addressed within time frame stated. Verification of action will occur at next visit. Additional follow up may be required as indicated. | Define | Close Out | Define | Close Out |
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|-----------------|---------|-------------|---------------------------|-----------|--------|
| Job / Cert. n°: | PK12625 | Visit Type: | Surveillance + Transition | Visit n°: | 05 |
| Document: | GS0401 | Issue n°: | 5 | Page n°: | 7 of 7 |

Corrective Action Plan

SA8000:2014 (July, 2017)

“Soorty Enterprises (Pvt.) Ltd.”

| S. No. | Non Conformity | Root Cause Analysis | Suggested Corrective Action | Responsibility | Target Date |
|--------|---|---|---|-----------------------|-------------|
| 1. | The organization has found provide to personnel, on a regular basis, health and safety training, but these are not included, repeated for new and reassigned personnel, where incidents have occurred, and when changes in technology and/or the introduction of new machinery present new risks to the health and safety of personnel. | Due to lack of knowledge about new requirement. | Management has decided to revise the training calendar and add new induction of any machinery training material. | Compliance Department | 28-Oct-2017 |
| 2. | SAAS/SAI contact details and the relevant CB contact details are not conspicuously displayed on the organization’s policy statement. Soorty Enterprises (Pvt.) Ltd. Found regularly conducts management reviews, but in last management review which was conducted on 17 May 2017 could not portray that reviews of its policy statement, policies, procedures implement inline of the SA 8000:2014 Standard requirement, in order to continually improve. | Due to lack of knowledge of new standard requirement. | Policy statement will be revised with SAAS/SAI contact details and will be discussed in upcoming Management Review Meeting. | Compliance Department | 01-Dec-2017 |
| 3. | Procedure on SPT has been found established. However, during interview with SPT members it was found that few members (i.e. 04 out of 12) were could not demonstrate; <ul style="list-style-type: none"> Knowledge and understanding of their role regarding the organization’s full and sustained compliance with SA 8000:2014, with continual improvement. That they have clear authority from senior management to carry out their responsibilities. That they are properly trained and have sufficient resources to carry out their roles. | Due to lack of understanding of new roles of SPT as per SA8000:2014 | Job Description of SPT members will be revised and a training session of new JD which will include knowledge and understanding of their roles regarding the new SA8000:2014 law will be given to SPT members. | Compliance Department | 30-Sep-2017 |
| 4. | Periodic Risk Assessment found conducted. However, Social Performance Team (SPT) could not participated in last written risk assessments to identify and priorities the areas of actual or potential non-conformance with the Standard, prioritise risks according to their severity and probability, and recommend actions to Senior Management on how to address identified risks. | Due to lack of knowledge about new requirement of SA8000:2014 | Procedure of Risk assessment will be revised and SPT members will be included in the risk assessment team to identify the severe risks. | Compliance Department | 29-Sep-2017 |
| 5. | SPT members could not facilitate in last routine internal audits; <ul style="list-style-type: none"> In-depth analysis of the SA8000:2014 compliance function, Review current practices, policies, and procedures as per SA8000:2014 requirement. | Due to lack of knowledge about new requirement of SA8000:2014 | Procedure of Internal Audit will be revised and SPT members will be included in the next scheduled Internal Audit. | Compliance Department | 30-Nov-2017 |
| 6. | Most of the interviewed personnel (i.e. 07 out of 15) could not demonstrate the effective understanding of requirements of SA8000:2017. | Due to lack of knowledge regarding new requirement | Training material of SA8000 will be revised with newly applicable points and training will be given as per the schedule to all the workers. | Compliance Department | 30-Oct-2017 |

Corrective Action Plan

SA8000:2014 (July, 2017)

“Soorty Enterprises (Pvt.) Ltd.”

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| 7. | Soorty Enterprises Industries does not conduct monitoring activities of its prioritized supplier/subcontractor’s performance on an ongoing basis to leverage its control and influence throughout its supply chain in order to encourage socially accountable practices among its Suppliers/subcontractors. | Due to lack of knowledge about new requirement of SA8000:2014 | Procedure of Supplier evaluation will be revised with new roles and regulation of SA8001:2014 law. | Compliance Department | 15-Nov-2017 |
|----|---|---|--|-----------------------|-------------|