



What's new in SMETA 6.1?

A summary guide to the differences between SMETA 6.0 and 6.1

Introduction

This document provides information about SMETA 6.1, which will be available in Sedex Advance in May 2019. To help with the implementation of SMETA 6.1, we have outlined the changes between SMETA 6.0 and SMETA 6.1. The updates in SMETA 6.1 are based on feedback received and agreed by consensus with the Sedex Stakeholder Forum (SSF)'s SMETA working group.

Summary table

Document	Section	Change
SMETA Report	Audit Details	We have relabeled our pillars to ensure consistency when identifying the audit scope.
	SMETA Declaration	Auditors' APSCA details can now be recorded in the report
	Site Details	Option to add a site's co-ordinates/GPS location.
	oA: Universal Rights covering UNGP.	A question on whether grievance mechanisms meet UN Guiding Principles expectations has been moved from 'No Harsh or Inhumane Treatment' to 'Universal Rights covering UNGP'.
	Worker Analysis	The definition of a 'migrant worker' has been amended.
	Worker Analysis	A new question has been added to record worker nationalities.
Best Practice Guidance	5.4 Frequency of audits	We have added information on how often buyers typically require their suppliers to undertake audits.
	6.5.3 Audit Length, Sample Size & Timetable	Further guidance on calculating sample sizes for sites over 2000 workers. Please note existing sample sizes for 1-2000 workers have not changed.
	7.4.4 Data Protection & GDPR	Updated to reference GDPR.
	8.1 Audit Report Completion	Clause 8.1.1 has been updated to remove 'Observations' from the requirement to reference the relevant area of the Code and/or local law
Measurement Criteria	Health & Safety Section 3.9(z)	Amended to clarify that exit routes through other business premises should be included within the audit scope.
	10. Other Issues Section 10A.6	Ability for auditors to track nationalities of workers from UN sanctioned countries - under 'entitlement to work'
	Measuring Impact through worker voice tools	A new chapter covering the new Sedex Worker Wellbeing assessment has been included in the SMETA methodology.
Non-compliance Guidance	oB: Management Systems	'Incomplete Sedex SAQ' has been removed as a Non-conformance (previously listed as a Minor NC)

Changes to the Report

1. Audit details: We have changed 'Health & Safety' pillar to 'Health & Safety plus Environment 2-Pillar', and 'Environment' pillar to 'Environment 4-pillar'. This is to help distinguish whether environmental questions were part of the 2-pillar or 4-pillar audit. The other two pillars of 'Labour Standards' and 'Business Ethics' are unchanged.
2. SMETA Declaration: We have added to option to add auditor's Association of Professional Social Compliance Auditors (APSCA) details. This information includes: Lead Auditor APSCA Number, Lead Auditor APSCA status, Team Auditor APSCA number, and the Interviewers Auditor APSCA number. This change will allow report readers to check the audit team's APSCA credentials.
3. Site Details: We have created the option to add a site's co-ordinates/GPS location into the report. This is found in the site details, where you will find both 'GPS Address' and 'Latitude/Longitude' boxes.
4. Grievance mechanisms: Based on feedback received we have moved the question "Does the grievance mechanism meet UNGP expectations?" from 'g: No Harsh or Inhumane Treatment is Allowed' to section 0A: Universal Rights covering UNGP.
5. Worker Analysis: The definition of 'migrant workers' has been amended to improve its objectivity. The change is highlighted below in bold:

New definition: "The term "migrant worker" refers to a person who is engaged or has been engaged in a remunerated activity in a country of which they are not a national **or permanent resident** or has purposely migrated on a temporary basis to another in-country region to seek and engage in a remunerated activity".

Previous definition: "The term "migrant worker" refers to a person who is engaged or has been engaged in a remunerated activity in a country of which they are not a national **and where they do not intend to remain permanently** or has purposely migrated on a temporary basis to another in-country region to seek and engage in a remunerated activity."
6. Worker Analysis: A new question has been added: "B: Please list the nationalities of all workers, with the three most common nationalities listed first." It is recommended that the auditor collects this information from the site in advance of the audit.
7. Various minor changes to the report text have been made throughout, to help improve clarity, accuracy and readability of the report.

Changes to BPG & Measurement Criteria

1. Observations: The requirement to reference a Code or Law in the case of Observations has been removed; this was erroneously stated under section 8.1.1 of version 6.0.
2. Frequency of audits: Guidance around typical risk-based audit cycles has been included for buying organisations.

Sedex does not determine how often sites should undertake social audits. However, buyer members typically require sites to follow 'audit cycles' according to their risk categorisation (which will often vary between companies). For consistency, Sedex members recommend following the below approach to audit frequency:
 - High risk – annual audit
 - Medium risk – 2-yearly audit
 - Low risk – at customer's discretion
3. Sample sizes: There is now further guidance on calculating sample sizes for sites over 2000 workers.

If a site has more than 2000 workers, the number of interviews is determined on a case by case basis depending on the circumstances of the facility. The suggested 62 is a minimum and this should increase as worker numbers increase. Auditors may choose to base the sample size on a minimum of the square root of the total number of workers or on the range and complexity of the different types of workers. Please ensure the sample is representative of the process and worker functions on site.

4. GDPR: We have updated guidance to come into line with new GDPR requirements.
5. Non-compliance Guidance: The 'Incomplete Sedex SAQ' has been removed as a Non-conformance (previously a Minor NC).
6. Measurement Criteria: 'Entitlement to Work' checks extend to any nationalities working on site from a UN sanctioned country e.g. Democratic People's Republic of Korea (North Korea). The auditor should report under evidence examined with explicit reference to these nations.
7. Measurement Criteria: Updated to clarify that exit routes in multi-story or multi-business premises that go through other businesses' premises should be included in the checks.
8. Measurement Criteria: There is now a new chapter covering the new Sedex Worker Wellbeing assessment which has been included in the SMETA methodology. Sedex's Worker Wellbeing Assessment is a worker-centric tool that measures worker satisfaction and job quality. It can be utilized as part of an ethical audit to provide further insights alongside compliance findings.

Frequently asked questions

Q.1. How can companies prepare for a SMETA audit?

A.1. Companies can prepare by reading the SMETA 6.1 documents. SMETA Guidance documents can be downloaded from www.sedexglobal.com

A full suite of documents will include:

- **SMETA 6.1 Best Practice Guidance (BPG):** Details audit procedure.
- **SMETA 6.1 Measurement Criteria:** Details what will be examined at the audit.
- **SMETA 6.1 Report:** A template where all findings will be recorded.
- **SMETA 6.1 CAPR (Corrective action plan):** Records a summary of the audit findings and corrective actions discussed.

Any site or interested party can use the above to conduct their own internal audit in preparation for an external auditor visit. The SMETA BPG states that completing an internal audit and correcting items ahead of the external audit visit will greatly reduce the need for a follow up audit.

Q.2. How can I learn more about SMETA 6.1?

A.2. Sedex will hold webinars which outline the changes to SMETA 6.1. You can view these dates on our [Sedex training calendar](#). The webinars will also cover the new Non-compliance 'Carry Forward' feature being released to Sedex Advance and will be made available as recorded webinars.

Q.3. When will SMETA 6.1 be launched?

A.3. The option to select SMETA 6.1 will be available in Sedex Advance from May 2019, following which a transition period will come into effect. From 01 July 2019, all SMETA full scope audits must be conducted against SMETA 6.1.

Q.4. What happens with follow up audits when the original audit was conducted against 6.0?

A.4. It will be possible to conduct partial follow-up audits against 6.0 for up to 1 year, until 30 June 2020.

Q.5. Some of my customers require a semi-announced audit. If this is during the transition period, how will I know whether it will be conducted against 6.0 or 6.1?

A.5. It is recommended that the window given for semi-announced audits is set either prior to or after the date the audit body will begin using SMETA 6.1, thus avoiding any possibility of bridging the implementation date.

Q.6. Will SMETA 6.1 be available in languages other than English?

A.6. SMETA 6.1 will be available in English, Spanish and Mandarin. Where reports and CAPRs are needed in a language other than English, please note these should be dual language, and must include English.