

## Compliance Audit in Apparel Industry

A compliance audit is one kind of audit which is specially designed for auditing the compliance issues related with the apparel industry. Different regulatory authorities set different type of regulatory issues. And buyers of garments ask from the company whether they are following their required compliance or not. These issues are checked by the auditing process which is known as compliance audit. After a compliance audit, they provide/ issue certificate. From the Compliance Audit Checklist in Apparel Industry a garments makers will be able to know what are the things buyers may ask from the company.



## Compliance Audit Checklist in Apparel Industry

Compliance Audit is very important for garments manufacturing factory. To get an order from the buyer, your company must have to pass social Compliance Audit. Buyer may cancel the order if your company fails to pass the *Compliance Audit*. In this article, I am giving a checklist for any buyer Compliance audit preparation.

## Areas of Garments Compliance Audit

1. Licenses, permits and Facility Information
2. Child and under-aged worker
3. Forced labor and Discrimination
4. Freedom of Association and collective bargaining
5. Right of worker
6. Disciplinary Practice
7. Working Hours
8. Wages, Benefits & Compensation
9. Workplace Safety
10. Occupational Health & Welfare
11. Environment Management
12. Management Practice and supplier control
13. Training records
14. Company Policies

## Areas/Categories of Garments Compliance Audit

1. Licenses, permits and Facility Information
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11. Environment Management
12. Management Practice & Sub-contractor /supplier control
13. Training records
14. Company Policies

### Licenses, Permits and Facility Information

- Factory profile
- Architectural & Structural Drawing Approval
- Soil Test Report Approval
- Trade license
- Factory license
- Fire license
- Boiler license
- Generator permission
- Electrical permission/ Sub-station permission
- TIN certificate
- Export registration certificate and Import registration certificate
- Export promotion bureau certificate

- Bond license
- Rent agreement

## **Child and under-aged worker**

- Child labor remediation process
- Recruitment policy
- Personal file
- Agreement with the service provider/sub-contract

## **Forced labor and Discrimination**

- Any harassment or discrimination issues
- Policy on a prohibition of forced labor
- Awareness/Training register
- Job responsibility of security guard

## **Freedom of Association and Collective Bargaining**

- Policy on freedom association
- Awareness/Training register
- Formation procedure of worker association/trade union
- Meeting minutes of worker participatory committee
- Register for complain /Suggestion
- Grievance handling procedure

## **Right of Worker**

- Personal file of worker
- Service book
- Employee ID card

## **Disciplinary Practice**

- Policy on disciplinary practice or rules
- Leave Record
- Orientation training on factory code of conduct & legal requirement
- All kind of policy
- Disciplinary action log & record
- Awareness/training register
- Final settlement
- Others legal facilities

## **Working Hours**

- Working hour Approval
- Working hour record for all section
- Overtime hour record
- Attendance Register
- Declared holiday list
- Manpower list

## Wages, Benefits & Compensation

- Wages/payroll sheet (last 1 year)
- Overtime wages sheet (last six months)
- Payslips (last 1 year)
- Wages Increment record
- Maternity Benefit register & Record
- Group Insurance with manpower update list
- Policy on wages, overtime, payment date, calculation method, leaves & holidays etc.

## Workplace Safety

- Sub-soil/Geological investigation report
- Building structural plan/approval
- 3rd party assessment report
- Firefighting training record
- Fire drill record
- Firefighting team
- Firefighting equipment list
- Fire safety plan
- Personal file of Fire Officer
- Electrical & Mechanical Equipment periodical checklist
- Competency certificate of Electrician
- Competency certificate of Boiler Operator
- Chemical Handling Training
- Health checkup record
- Chemical list
- Safely machine operating training register
- [Needle stock register, Broken & Missing Register](#)
- [Sharp tool policy](#)
- Emergency evacuation diagrams
- Emergency exit doors
- Building structure safety
- [PPE](#) (personal protective equipment) use
- Aisle or Stairway

## Occupational Health & Welfare

- Personal file of Welfare officer
- Drinking water test report
- First aid training & List of the first aider
- Medical agreement
- Competency certificate of Doctor
- Competency certificate of Nurse
- Personal file of care governance
- Childcare register
- Canteen committee

## Environment Management

- Environmental risk assessment as per section
- Emergency procedure to reduce risk
- Environmental clearance certificate
- Waste disposal agreement /procedure

- Wastewater test report in-house and outside
- Energy survey/ Assessment record

## **Management Practice & Sub-contractor /Supplier Control**

- Awareness training record for new & old workers
- Mid Management training record
- Internal Audit record
- Policy on Sub-contract control
- Sub-contract control procedure & record

## **Training Records**

- Emergency evacuation & fire drill record
- List of firefighters trained by fire service/BGMEA
- Disciplinary Rules communication
- First Aid training record
- Chemical Training record
- Machinery safety training record
- Health and safety training record
- Training on KIABI compliance

## **Company Policies**

- Child Labor Policy
- Child labor Remediation Policy
- Disciplinary Rules/Policy
- CSR Policy
- Anti-Corruption/Bribery policy
- Sub-contractor/Supplier Monitoring
- Grievance Procedure
- Environmental Policy
- Energy efficiency plan
- Environment emergency procedure
- Deduction for late/after lunch assentation

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