

Participant Handbook

Sector
Apparel

Sub-Sector
Apparel

Occupation
Compliance

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**Factory Compliance
Auditor**

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Shri Narendra Modi
Prime Minister of India

“

Skill development of the new generation is a national need and is the foundation of Aatmnirbhar Bharat

”



Certificate
COMPLIANCE TO
QUALIFICATION PACK – NATIONAL OCCUPATIONAL
STANDARDS

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APPAREL, MADE-UPS & HOME FURNISHING SECTOR SKILL COUNCIL

for

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The preparation of this handbook would not have been possible without the Fashion Industry’s support. Industry feedback has been extremely encouraging from inception to conclusion and it is with their input that we have tried to bridge the skill gaps existing today in the industry.

This participant handbook is dedicated to the aspiring youth who desire to achieve special skills which will be a lifelong asset for their future endeavours.

About this book

Welcome to the “Factory Compliance Auditor” training programme. This PHB is designed to provide participants with comprehensive knowledge about the principles and practices of maintaining security, ensuring vigilance, and safeguarding premises. It also focuses on planning, executing, and managing routine security tasks, conducting inspections, and verifying the integrity of individuals and documents as part of field operations.

This Participant Handbook is designed based on the Qualification Pack (QP) under the National Skill Qualification framework (NSQF) and it comprises of the following National Occupational Standards (NOS)/ topics and additional topics.

1. AMH/N1705: Follow regulatory and company's rules and Greening of Job Roles
2. AMH/N2201: Evaluate information to determine compliance with standards
3. AMH/N2202: Prepare Audit Report
4. AMH/N2203: Check compliance with product protocol
5. AMH/N2204: Maintain a healthy, safe and secure working environment with Gender and PwD Sensitization
6. DGT/VSQ/N0103: Employability Skills (90 Hours)

Symbols Used



Key Learning
Outcomes



Unit
Objectives



Exercise



Tips



Notes



Summary

1. Introduction and Orientation to Factory Compliance Auditor



Unit 1.1 - Roles and Opportunities of a Factory Compliance Auditor



Key Learning Outcomes

By the end of this module, the participants will be able to:

1. Describe various employment opportunities for a 'Factory Compliance Auditor' in the apparel industry.
2. Describe the relationship between work role of a 'Factory Compliance Auditor' and the overall manufacturing process.
3. Explain the roles and responsibilities of a 'Factory Compliance Auditor'.
4. Describe the production process and the specific work activities that relate to the whole process.

UNIT 1.1: Roles and Opportunities of a Factory Compliance Auditor

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe the different employment opportunities available for a Factory Compliance Auditor in the apparel industry
2. Explain how the role of a Factory Compliance Auditor integrates with the overall manufacturing process
3. Outline the roles and responsibilities of a Factory Compliance Auditor
4. Describe the production process and the specific work activities related to it within the manufacturing environment

1.1.1 Apparel Manufacturing Sector

The apparel manufacturing sector in India is one of the biggest industries in the country. It includes making clothes like shirts, pants, dresses, uniforms, and traditional wear. It also includes items we use at home, such as bed sheets, towels, curtains, cushion covers, and table cloths. Many factories and small units across India manufacture these garments for both domestic consumption and export to other countries.

This sector provides employment to millions of people, particularly women and workers in rural areas. It includes many types of work such as stitching, cutting, embroidery, ironing, checking, and packing. India is renowned for its skilled workers and exquisite designs, which is why clothing made in India is in high demand worldwide.

The apparel industry in India is growing every year. With an increasing number of people purchasing clothes in India and other countries, there is a growing need for more workers and enhanced skills. New machines, better training, and government support are helping this sector grow fast. It is a strong part of India's economy and offers good job opportunities for skilled workers.

Market Size and Growth:

- **Current Value:** The Indian apparel market size was valued at USD 115.70 billion in 2024. The broader Indian textile and apparel market was valued at USD 222.08 billion in 2024.
- **Projected Growth:** The Indian apparel market is projected to grow to USD 171.60 billion by 2034, exhibiting a compound annual growth rate (CAGR) of 4% from 2025 to 2034.

Source: textileinsights.in



Fig. 1.1.1: Apparel manufacturing unit

India is known around the world for its beautiful embroidery, traditional designs, and skilled work. Because of this, there is a high demand for Indian-made clothes and home products in many countries.

The work in this sector is done by hand and by machines. It requires workers who are careful, skilled, and hard-working. Jobs like those of Factory Compliance Auditors are crucial in maintaining the quality and design of products.

This sector helps many families earn a living and plays an important role in the country's growth.

Key Strengths and Growth Drivers of India's Apparel Industry

India's garment and textile industry is strong and growing fast. The reasons behind this are discussed as follows:

1. Plenty of Raw Material

India grows a lot of cotton, the highest in the world, and is also the top producer of jute and jute products. India is also the second-largest producer of silk. India also produces and exports various types of blended and synthetic yarns.



Fig. 1.1.2: Cotton tree and pre-processed jute plant

2. Large Domestic Market

India has a big population that buys clothes. People in India now have more money to spend and like to wear new styles. This means there is always high demand for new garments in the local market.

3. Government Support

The government is giving help through special schemes like PLI and PM MITRA Parks. These programs help build better factories, support workers, and attract more companies to invest in India.

4. Strong Export Business

India exports clothes and textiles to many countries, including the USA and those in Europe, making it the sixth-largest exporter of textiles and garments in the world.

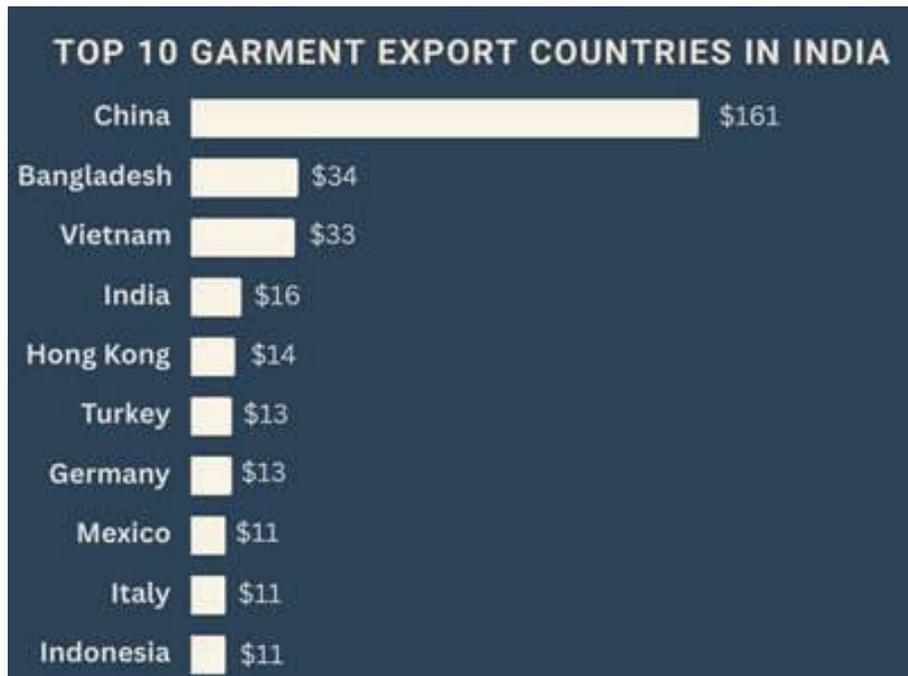


Fig. 1.1.3: Indian export of garments in FY 23-24 (\$16 billion)

(Source: <https://www.exportimportdata.in/blogs/garment-exports-from-india.aspx>)

5. Use of New Technology

Modern machines and computers are now used in many factories. This makes the work faster, better, and more accurate.



Fig. 1.1.4: Advanced garment manufacturing technology

6. Focus on Sustainability

Many companies are now using eco-friendly methods. They are making clothes from organic cotton and trying to reduce waste. This is good for the environment and future generations.

Apparel, Made-Ups and Home Furnishing Sector Skill Council (AMHSSC)

The Apparel, Made-Ups, and Home Furnishing Sector Skill Council (AMHSSC) is an organisation that helps people acquire the necessary skills to work in the clothing and home furnishing industry.

AMHSSC (Apparel, Made-Ups and Home Furnishing Sector Skill Council) plays an important role in helping people learn and grow in the garment and home furnishing industry. It creates special training courses for different jobs, such as Factory Compliance Auditors, tailors, pressmen, fashion designers, etc. These courses teach workers how to do their jobs in a safe, fast, and correct way.

AMHSSC also works with factories and companies to understand what kind of workers are needed. This helps ensure that the training aligns with what the industry is looking for. Trained workers can get jobs in factories, export houses, or even start their own small businesses. By learning the right skills, workers can make better-quality products, feel more confident, and earn more money. In this way, AMHSSC connects skilled workers with good job opportunities and supports their future growth.



**APPAREL MADE-UPS HOME FURNISHING
SECTOR SKILL COUNCIL**

Fig. 1.1.5: AMHSSC logo

1.1.2 Role and Responsibilities of a Factory Compliance Auditor in the Apparel Industry

Who is a Factory Compliance Auditor?

A Factory Compliance Auditor in the Indian apparel industry is a professional who inspects garment factories to ensure they follow legal, ethical, and buyer-required standards related to labor laws, workplace safety, environmental regulations, and social compliance.

Role of a Factory Compliance Auditor

A factory compliance auditor is responsible for ensuring that the manufacturing units follow ethical, legal, and quality standards related to labour laws, environmental laws, safety, and buyer-specific compliance requirements. They also ensure that production processes meet both brand codes of conduct and statutory requirements.



Fig. 1.1.6: Factory Compliance Auditor in the Apparel Industry

Here are the key responsibilities of a factory compliance auditor:

1. Compliance Assessment

- Conduct scheduled and surprise audits in garment factories to assess compliance with:
 - Labour laws (working hours, wages, benefits)
 - Health and safety regulations
 - Environmental and sustainability requirements
 - Social accountability standards (e.g., SA8000, BSCI, WRAP)
- Evaluate adherence to buyer-specific codes of conduct.

2. Documentation & Reporting

- Review and verify factory records (payroll, attendance, training logs, safety checklists).
- Maintain accurate audit reports highlighting observations, non-compliances, and best practices.
- Provide evidence-based documentation for corrective action plans.

3. Worker Interaction

- Conduct worker interviews confidentially to verify workplace conditions and worker rights.
- Identify discrepancies between management-provided data and worker feedback.

4. Corrective Action & Follow-up

- Recommend practical corrective and preventive measures to address non-compliances.
- Monitor and follow up with factories to ensure timely closure of audit findings.
- Support capacity building by guiding factories in implementing compliance systems.

5. Legal & Ethical Standards

- Stay updated with changes in local labour laws, environmental regulations, and international compliance norms.
- Ensure that suppliers do not engage in practices such as child labour, forced labour, discrimination, or harassment.

6. Risk Analysis

- Identify potential compliance risks in factory operations.
- Advise sourcing teams and management on high-risk suppliers and mitigation strategies.

1.1.3 Various Employment Opportunities for Factory Compliance Auditor in the Apparel Industry

A Factory Compliance Auditor can work across different segments of the apparel supply chain, ensuring ethical, legal, and quality standards are met. A Factory Compliance Auditor in the apparel industry has diverse employment opportunities across multiple domains, as compliance is a critical requirement for sustaining business operations and global partnerships. They can work with export-oriented garment factories to ensure adherence to international buyer requirements and codes of conduct, or with domestic apparel manufacturing units to monitor compliance with Indian labour laws, environmental norms, and workplace safety standards.

Auditors are also employed by third-party audit firms, which conduct independent assessments on behalf of global brands and retailers, as well as by sourcing and buying houses, which require in-house compliance teams to evaluate supplier factories. Additionally, certification bodies and NGOs engaged in labour rights, sustainability, and ethical trade often recruit compliance auditors for inspections and monitoring. With the growing focus on sustainability, ESG (Environmental, Social, and Governance) compliance, and international trade regulations, opportunities are also expanding in consulting firms, corporate compliance departments of large apparel brands, and organizations promoting sustainable supply chains. Thus, the role offers varied career pathways both within India and in the global apparel industry.

1.1.4 Relationship Between Work Role of an ‘Factory Compliance Auditor’ and the Overall Manufacturing Process

The work of a Factory Compliance Auditor is closely linked to every stage of apparel manufacturing, as compliance is integral to quality, safety, and ethical production.

Pre-Production Stage

- **Supplier Approval:** Auditor assesses factories before production begins to ensure they meet legal, social, and environmental standards.
- **Risk Identification:** Detects potential compliance risks (e.g., unsafe equipment, excessive working hours) that could affect smooth manufacturing.

Production Planning & Execution

- **Ongoing Monitoring:** Conducts in-process audits to ensure workers’ rights, safety protocols, and environmental controls are maintained during manufacturing.
- **Legal & Buyer Requirements:** Ensures manufacturing processes adhere to labour laws and buyer-specific codes of conduct alongside production timelines.

Quality and Process Control

- **Link with Quality Systems:** Compliance auditors work with quality assurance teams to verify that ethical practices align with quality benchmarks.
- **Preventing Disruption:** Compliance ensures there are no factory shutdowns, strikes, or brand order cancellations due to violations.

Post-Production Stage

- **Final Compliance Verification:** Confirms that all processes during production remained within approved compliance standards before goods are shipped.
- **Documentation & Reporting:** Provides audit reports that influence repeat orders, buyer trust, and supplier relationships.

Impact of Overall Manufacturing Process

- **Maintains Brand Reputation:** Compliance failures can halt shipments; auditors safeguard continuity.
- **Supports Sustainable Manufacturing:** Promotes ethical labour, safe workplaces, and eco-friendly production methods.
- **Improves Efficiency:** By identifying risks early, compliance auditing reduces delays, rework, and legal disputes.

1.1.5 Career Progression Map for a Factory Compliance Auditor

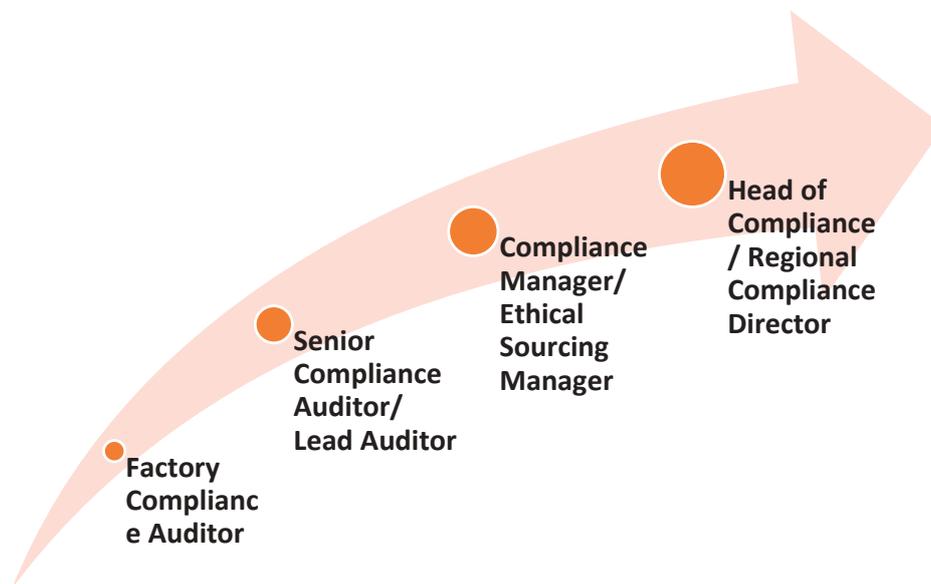


Fig: Career Progression Map for a Factory Compliance Auditor

Summary

- The apparel sector in India is a major employer and export contributor with strong growth potential.
- Factory compliance auditors ensure factories follow labour, safety, environmental, and buyer standards.
- Key responsibilities include audits, documentation, worker interviews, reporting, and corrective actions.
- Employment opportunities exist in factories, buying houses, NGOs, brands, certification bodies, and government.
- Compliance auditing is linked to every stage of garment production from pre-production to shipping.
- Effective compliance prevents risks, protects brand reputation, and supports sustainable production.
- The garment production process includes sampling, sourcing, cutting, sewing, finishing, inspection, and dispatch.
- AMHSSC develops skill-based training for workers and supports industry workforce readiness.
- Career progression for auditors ranges from entry-level roles to senior compliance and CSR leadership.
- An auditor is responsible for acting as the bridge between buyers, factories, and regulatory bodies.

Exercise

Multiple-choice Question:

1. Which of the following is a key raw material strength of India's apparel industry?
 - a. Polyester
 - b. Cotton
 - c. Wool
 - d. Nylon

2. The main role of a Factory Compliance Auditor is to:
 - a. Increase production speed
 - b. Ensure compliance with labour, safety, and environmental standards
 - c. Handle export documentation
 - d. Train sewing machine operators

3. Which organisation develops skill-based training for the apparel and home furnishing sector in India?
 - a. NIFT
 - b. AMHSSC
 - c. WRAP
 - d. ILO

4. In which stage of garment production is the AQL (Acceptable Quality Level) inspection conducted?
 - a. Fabric sourcing
 - b. Sewing / assembly
 - c. Finishing
 - d. Final inspection

5. Which of the following is a potential employment opportunity for a Factory Compliance Auditor?
 - a. Third-party audit firms
 - b. Hospitals
 - c. Construction Sites
 - d. Automobile Workshops

Descriptive Questions:

1. Explain the key strengths and growth drivers of India's apparel manufacturing sector.
2. Describe the main roles and responsibilities of a Factory Compliance Auditor in ensuring ethical and legal practices.
3. How does compliance auditing integrate with different stages of the garment manufacturing process? Give examples.
4. Outline the garment production process from product development to final dispatch.
5. Discuss the various employment opportunities available for Factory Compliance Auditors in the apparel industry.

2. Follow Regulatory and Company's Rules and Greening of Job Roles



Unit 2.1 - Legal, Ethical, and Regulatory Compliance

Unit 2.2 - Work Practices and Reporting Procedures



Key Learning Outcomes

By the end of this module, the participants will be able to:

1. Explain importance of greening solutions, procedures, policies, legislation and regulations
2. Discuss the significance of specified usage of resources at work area
3. Describe the Legal, regulatory and ethical requirements specific to the industry/sector.
4. Describe the importance of having an ethical and value-based approach to governance.
5. Describe customer specific requirements mandated as a part of the work process.
6. Describe country / customer specific regulations for the sector and their importance.
7. Describe the benefits to the company and to self in the practice of these procedures.
8. Carry out work functions in accordance with organizational standards, greening solutions, procedures, policies, legislation and regulations.
9. Collaborate with the supervisor and team members in enforcing regulatory considerations.
10. Explain the reporting procedure to be followed, in case of deviations.
11. Identify and report any possible deviation to these requirements.
12. Identify limits of personal responsibility.
13. Clarify information on policies and procedures, from the supervisor or other authorized personnel.
14. Follow the organisational policies and procedures within the work practices.
15. Evaluate the different ways to conserve energy in Apparel sector

UNIT 2.1: Legal, Ethical, and Regulatory Compliance

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe the importance of greening solutions, procedures, policies, legislation, and regulations
2. Discuss the significance of the specified usage of resources in the work area
3. Explain the legal, regulatory, and ethical requirements specific to the apparel industry/sector
4. Illustrate the importance of having an ethical and value-based approach to governance
5. Describe the customer-specific requirements mandated as part of the work process
6. Describe the country/customer-specific regulations for the sector and their importance
7. Explain the benefits to the company and self in the practice of regulatory compliance

2.1.1 Importance of Greening Solutions and Sustainability Practices

Greening solutions and sustainability practices are increasingly vital in the apparel industry due to its significant environmental impact and growing customer demand for ethical and environmentally-friendly products. The implementation of these practices helps in reducing resource consumption, minimising waste and pollution, improving brand reputation, and ensuring compliance with stricter environmental regulations. A Factory Compliance Auditor ensures that greening solutions such as waste reduction, energy efficiency, water conservation, and safe chemical management are integrated into factory operations. This helps in benefiting the environment, workers, customers, and the business itself.

1. Environmental Protection

- Reduces pollution, conserves natural resources, and reduces waste generation.
- Helps control harmful emissions from apparel manufacturing process.

2. Cost Efficiency

- Saves water, energy, and raw materials, reducing production costs over time.
- Encourages efficient energy resource management.

3. Compliance with Regulations

- Helps in avoiding order cancellations and legal penalties.
- Meets national and international environmental laws such as Zero Discharge of Hazardous Chemicals – ZDHC.



Fig. 2.1.1: Types of Compliance in Apparel Industry

Worker Health and Safety

- Helps in promoting better workplace condition.
- Reduces the exposure to hazardous chemicals and unsafe work environments.

Brand Image & Market Advantage

- Helps in improving the company reputation with eco-conscious buyers.
- Attracts more business from sustainability-focused clients.

Long-term Business Sustainability

- Ensures production processes remain viable without exhausting resources.
- Builds resilience against environmental risks and supply chain disruptions.

2.1.2 Significance of Resource Usage in the Workplace

In the apparel industry, the Factory Compliance Auditor is responsible for ensuring that resources such as fabric, materials, water, and electricity, are efficiently used, aligned with legal requirements, organisational policies, and sustainability goals. This ultimately helps to balance costs, quality, and environmental responsibility. The significance of the specified usage of resources in the work area are discussed below.

1. **Cost Control and Profitability:** Efficient use of raw materials, energy, and water helps reduce overall production costs in the apparel industry. By minimizing waste and avoiding unnecessary rework, factories can improve profitability while maintaining smooth operations.
2. **Environmental Conservation:** Conserving resources such as water, electricity, and raw materials lowers the ecological footprint of the factory. This practice supports sustainable manufacturing, which is becoming increasingly important in the apparel sector.
3. **Compliance with Regulations:** Proper management of resources ensures that factories meet environmental laws as well as buyer-specific sustainability requirements. It also helps avoid penalties or fines that may arise due to overuse, wastage, or violation of restricted resource guidelines.

4. **Operational Efficiency:** Streamlined use of resources contributes to improved production flow, as materials and utilities are available when needed. It also prevents downtime that could occur due to shortages or excessive consumption.
5. **Quality Assurance:** Using the correct quantity and quality of resources ensures that garments meet consistent product standards. It reduces defects and rejections that may arise from improper material usage during production.
6. **Brand Reputation:** A factory that demonstrates commitment to responsible manufacturing gains the trust of both buyers and consumers. This strengthens its brand reputation and improves competitiveness in the global market.

2.1.3 Legal & Regulatory Requirements in Apparel Sector

A Factory Compliance Auditor must ensure that apparel manufacturing units adhere to labour laws, occupational safety norms, environmental regulations, and trade guidelines. Compliance not only avoids legal penalties but also meets buyer expectations and ethical standards, ensuring smooth business operations.

Laws	Regulations
Labour laws & Worker welfare	Factories Act, 1948
	Minimum Wages Act, 1948
	Payment of Wages Act, 1936
	Employees' State Insurance (ESI) Act, 1948
	Employees' Provident Fund (EPF) Act, 1952
Occupational Health & Safety Regulations	Factories Act & State Rules
	Building and Other Construction Workers (BOCW) Act, 1996
Environmental Regulations	Environment Protection Act, 1986
	Water (Prevention & Control of Pollution) Act, 1974
	Air (Prevention & Control of Pollution) Act, 1981
	Hazardous Waste Management Rules, 2016
Industrial Relations & Employment Conditions	Industrial Disputes Act, 1947
	Equal Remuneration Act, 1976
	Child Labour (Prohibition & Regulation) Act, 1986
Export & Trade Regulations	Foreign Trade Policy & DGFT Guidelines
	Customs Act, 1962
Buyer & Industry Standards	SA8000, WRAP, BSCI, ISO 14001

Table 2.1.1: Legal & Regulatory Requirements in Apparel Sector

2.1.4 Ethical Standards & Value-Based Governance

In the apparel sector, ethical standards and value-based governance mean doing business with integrity, protecting worker rights, being transparent, and safeguarding the environment. For a Factory Compliance Auditor, promoting these principles ensures legal compliance, buyer satisfaction, and sustainable operations. The importance of having an ethical and value-based approach to governance are discussed below.

1. Promotes Fair Labour Practices

- Ensures no child labour, forced labour, or discrimination.
- Provides safe, healthy, and respectful working conditions for all employees.

2. Builds Trust with Stakeholders

- Transparency in operations strengthens relationships with workers, buyers, suppliers, and regulators.
- Clear governance builds long-term credibility in the market.

3. Strengthens Compliance Culture

- Ethical values encourage adherence to laws, regulations, and buyer codes of conduct beyond minimum legal requirements.

4. Enhances Brand Reputation

- Ethical operations attract socially conscious buyers and customers.
- Positive public image leads to competitive advantage in both domestic and export markets.

5. Encourages Responsible Decision-Making

- Value-based governance ensures decisions consider the welfare of workers, the community, and the environment, not just profit.

6. Reduces Risk of Violations

- Prevents practices that can lead to legal penalties, strikes, buyer order cancellations, or reputational damage.

7. Supports Sustainable Growth

- Ethics-driven governance aligns with long-term business sustainability by protecting human rights and environmental resources.

2.1.5 Customer-Specific Compliance Requirements in the Apparel Sector

Customer-specific compliance requirements in the Indian apparel sector often go beyond legal mandates, covering social responsibility, environmental sustainability, product quality, and ethical governance. A Factory Compliance Auditor ensures these requirements are understood, implemented, and documented so the factory meets both buyer expectations and legal obligations.

Standards	Customer Requirement	Example in Apparel Sector	Factory Compliance Auditor's Role
Social Compliance Standards	No child labour or forced labour	Buyer policy prohibiting workers under 18 in hazardous work.	Verify worker age documents, conduct worker interviews, check recruitment records.

Standards	Customer Requirement	Example in Apparel Sector	Factory Compliance Auditor's Role
	Fair wages and working hours	Buyer requires minimum 1.5x pay for overtime, max 60 hours/week.	Cross-check wage sheets, overtime logs, and compliance with both local laws & buyer standards.
	Worker health and safety	Mandatory fire drills every 6 months, PPE for all workers in dyeing unit.	Inspect safety equipment, check drill records, observe PPE usage, interview workers.
Environmental Requirements	Chemical restrictions (RSL/ZDHC)	No use of azo dyes or restricted heavy metals.	Review chemical inventory, verify supplier certifications, inspect storage & disposal.
	Sustainable practices	Use of organic cotton or recycled polyester.	Check purchase invoices, supplier certifications (GOTS, OCS), verify traceability.
	Waste & Effluent Management	Effluent must meet pH and pollutant limits before discharge.	Inspect ETP (Effluent Treatment Plant) operations, review test reports, check disposal records.
Quality Standards	Product specifications	Strict adherence to measurements, stitching quality, fabric quality, and finishing. Fabric must pass buyer's shrinkage and colourfastness tests.	Verify test reports, inspect production samples, coordinate with QA team.
Ethical Business Conduct	Anti-bribery & transparency	Buyer prohibits bribery or falsification of records.	Monitor transparency in reporting, train staff on ethical reporting, report deviations.

Table 2.1.2: Customer-specific requirement, examples, and the compliance auditor's duties

2.1.6 Country/Region- Specific Regulations

Types of Regulations	Laws & Regulations	Example in Apparel Sector	Importance	Role of a Factory Compliance Auditor
Country-Specific Regulations (Legal requirements under Indian Law)	Labour Laws & Worker Wel-fare	Factories Act, Minimum Wages Act, EPF, ESI, Child Labour Prohibition Act.	Protects worker rights; Ensures safe working conditions and legal compliance.	Verify records; Inspects workplace conditions; Check wage and attendance logs Confirm age proof.
	Environmental Laws	Environment Protection Act, Water Act, Air Act, Hazardous Waste Management Rules.	Prevents pollution; Promotes sustainable manufacturing.	Inspect waste disposal; Review pollution Control certificates; Check ETP/STP operations.
	Health & Safety Regulations	Fire safety norms under Factories Act; mandatory safety drills.	Prevents accidents; Ensures safe working environment	Inspect safety equipment; Verify training & drill records.
	Trade & Export Regulations	DGFT guidelines, Customs Act requirements for export shipments.	Ensures smooth export operations; Avoids shipment delays.	Check export documentation; Verify compliance with trade rules.
	Equal Opportunity Laws	Equal Remuneration Act, Industrial Disputes Act.	Prevents discrimination; Ensures fair treatment of employees.	Audit payroll by gender; Review dispute resolution records.
Customer-Specific Regulations (Buyer/brand requirements, often stricter than law)	Social Compliance	No child or forced labour; Freedom of association; Fair wages above legal minimum.	Builds trust with buyers; Avoids order cancellations.	Conduct worker interviews; Verify wage sheets; Check overtime logs.

Types of Regulations	Laws & Regulations	Example in Apparel Sector	Importance	Role of a Factory Compliance Auditor
	Environmental Compliance	Restricted Substances List (RSL); Zero Discharge of Hazardous Chemicals (ZDHC).	Meets global environmental standards; Reduces harmful chemical use.	Check chemical inventory; Supplier certifications and storage/disposal methods.
	Quality & Technical Standards	Check chemical inventory; Supplier certifications, and storage/disposal methods.	Check chemical inventory; Supplier certifications, and storage/disposal methods.	Verify test reports; Inspect samples; Coordinate with QA team.
	Sustainability Practices	Use of organic cotton, recycled polyester, low-impact dyes.	Aligns with global sustainability trends; Attracts eco-conscious customers.	Check supplier certificates (GOTS, OCS); Verify material traceability.
	Documentation & Traceability	Maintain wage, safety, and environmental records for at least 12 months; Raw material origin proof.	Ensures audit readiness; Meets buyer traceability requirements.	Audit documents; Verify supplier chain records.
	Ethical Business Conduct	Anti-bribery clauses; Transparent sourcing; Grievance redressal mechanisms.	Promotes responsible governance and long-term partnerships.	Monitor reporting transparency; Verify grievance handling systems.

Table 2.1.3: Mandatory legal compliance and buyer-driven requirements

2.1.7 Company & Self Benefits in the Practice of Regulatory Compliance

In the apparel industry, regulatory compliance means adhering to all applicable laws, regulations, and customer-specific requirements related to product quality, labour, environment, and safety. Long-term advantages are also created for both the company and the individual employee, by following compliance to these regulations. For a factory compliance auditor, regulatory compliance helps in building an ethical, sustainable, and profitable workplace.

Benefits of the regulatory compliance for various apparel organisations have been listed below:

- Avoiding legal penalties helps reduce the risk of fines, factory shutdowns, or license cancellations, while also ensuring compliance with the Factories Act and preventing government-imposed stoppages.
- Enhancing brand reputation builds trust with global buyers who prefer ethically responsible suppliers, and compliance with standards such as BSCI or WRAP further boosts the company's image.
- Ensuring business continuity minimizes disruptions caused by disputes, accidents, or legal actions, and fire safety compliance helps factories avoid closures after inspections.
- Access to international markets is possible only when factories meet compliance requirements, as many buyers, especially in Europe, demand REACH chemical compliance for exports.
- Improving productivity and quality is achieved when workers operate in safe and fair workplaces, since proper lighting and ventilation allow them to remain motivated and produce better stitching with fewer errors.
- Strengthening customer relationships comes from consistently meeting buyer standards, which builds long-term contracts and leads buyers to renew annual orders based on strong audit results.

Benefits to Self (Employee / Factory Compliance Auditor)

- **Job Security:** Working in a compliant factory reduces risk of sudden closure or layoffs. Auditor's role remains in demand as buyers require ongoing inspections.
- **Professional Growth:** Knowledge of regulations increases employability and promotion chances for the employees. This helps in moving from junior auditor to senior compliance manager.
- **Skill Development:** The employees can gain adequate expertise in legal standards, sustainability practices, and audits. They can easily learn to check wastewater treatment compliance.
- **Ethical Satisfaction:** They can take pride in ensuring fair treatment and safety for workers. This helps to prevent child labour in supply chains.
- **Global Career Opportunities:** Compliance expertise is valued by multinational companies and NGOs, which can diversify employment opportunities internationally. This can also help employees getting hired by international audit agencies.
- **Networking & Recognition:** The employees can indulge in regular interactions with buyers, inspectors, and management increase professional visibility. This can further result in being recommended for cross-factory audit projects.

UNIT 2.2: Work Practices and Reporting Procedures

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe how to carry out work functions in accordance with organizational standards, greening solutions, procedures, policies, legislation, and regulations
2. Discuss how to collaborate with supervisors and team members in enforcing regulatory considerations
3. Outline the reporting procedure to be followed in case of deviations from regulations
4. Identify and report any possible deviations to regulatory requirements
5. Clarify the limits of personal responsibility in relation to work practices and compliance
6. Explain how to seek clarification on policies and procedures from the supervisor or other authorized personnel
7. Discuss the importance of following organizational policies and procedures in day-to-day work practices
8. Evaluate the different ways to conserve energy in the apparel sector

2.2.1 Work Functions & Organisational Standards

In the apparel sector, work functions refer to the specific tasks, duties, and responsibilities carried out by the employees for achieving successful production and compliance. While, organisational standards can be described as the documented procedures, quality parameters, operational guidelines, and code of conduct set by the company to ensure quality, consistency, safety, and legal compliance. Organisational Standards are documented in Standard Operating Procedures (SOPs), policies, and code of conduct manuals. These include quality control measures, workplace safety protocols, ethical labour practices, and environmental and sustainability guidelines.

It is essential for a Factory Compliance Auditor to ensure safety, maintain customer trust, and meet regulatory obligations. He must not only know the company's rules but also apply them consistently in daily operations. This includes strict adherence to SOPs, legal compliance, environmental practices, and safety protocols to ensure the factory runs efficiently, ethically, and within buyer expectations.

Key Principles for Carrying Out Work Functions Aligned with Standards

Follow written procedures	Always refer to SOPs before starting a task.
	Use checklists during audits to ensure no steps are missed.
Meet Quality Benchmarks	Inspect production processes against quality standards (e.g., stitching quality, finishing checks).
	Report any defects or non-conformances immediately.

Ensure Compliance with Regulations	Adhere to Indian laws (Factories Act, Child Labour Prohibition Act, Environmental laws). Verify documentation and records match compliance requirements.
Prioritise Health & Safety	Follow prescribed safety measures, such as PPE usage and fire evacuation protocols. Ensure safety signage and emergency exits meet both legal and company guidelines.
Incorporate Greening Solutions	Use resources like water, energy, and raw materials efficiently. Promote waste segregation, recycling, and safe chemical handling in line with company sustainability targets.
Maintain Documentation	Keep accurate and timely records of inspections, incidents, and compliance checks. Ensure files are readily available for buyer or regulatory audits.

Fig. 2.2.1: Principles for carrying out Work Functions aligned with Standards

Benefits of Following Organisational Standards

The employees can gain the following benefits by following organisational standards:

- Consistency in production and compliance processes
- Reduced risk of legal violations or buyer complaints
- Higher efficiency in audits and inspections
- Improved workplace culture due to clarity in expectations

2.2.2 Integrating Greening Solutions at Work

Greening solutions can be described as practices and processes that minimize environmental impact, conserve resources, and promote sustainability in manufacturing. In the apparel sector, integrating these solutions into daily work ensures compliance with both domestic environmental laws and international buyer requirements while contributing to long-term cost savings and brand reputation. It is the utmost duty of the Factory Compliance Auditor to ensure that all production activities align with both sustainability objectives and regulatory standards. This means checking that resource usage is optimised, waste is minimized, and all greening practices are documented and verifiable during audits.



Fig. 2.2.2: Greening solutions adopted in Textile Recycling Sector

Key areas of Greening Solutions in Apparel Factories

Key Areas	Examples	Details
<p>Energy Efficiency</p>	<p>Lower energy consumption spinning machine</p> 	<ul style="list-style-type: none"> • Use energy-efficient sewing machines, lighting (LED), and HVAC systems. • Turn off idle equipment and lights when not in use.
<p>Water Conservation</p>	<p>Wastewater reuse</p> 	<ul style="list-style-type: none"> • Implement water recycling in washing/dyeing units. • Use low-liquor ratio dyeing machines.
<p>Waste Management</p>	<p>Reuse and repurposing of textile waste</p> 	<ul style="list-style-type: none"> • Segregate fabric scraps for recycling or upcycling. • Reduce single-use plastics in packaging.
<p>Chemical Management</p>	<p>Wastewater treatment solution for chemical management of textile waste</p> 	<ul style="list-style-type: none"> • Follow Zero Discharge of Hazardous Chemicals (ZDHC) guidelines. • Use eco-friendly dyes and finishing chemicals approved by buyers.

Key Areas	Examples	Details
Pollution Control	<p>Controlling industrial pollution</p> 	<ul style="list-style-type: none"> • Maintain effluent treatment plants (ETP) and ensure compliance with State Pollution Control Board norms. • Regularly monitor air emissions and noise levels.

Table 2.1.4: Key areas of Greening Solutions in Apparel Factories

Steps to Carry Out Work Functions aligned with Greening Solutions

Step 1: Follow Company's Sustainability Policies

- Adhere to documented environmental procedures.

Step 2: Comply with Legal Requirements

- Observe rules under Environment (Protection) Act, 1986 and Water (Prevention & Control of Pollution) Act, 1974 for maintaining mandatory pollution and waste disposal records.

Step 3: Incorporate Greening into Daily Work

- Conduct compliance checks on resource usage during audits.

Step 4: Collaborate for Sustainability Goals

- Work with production, maintenance, and HR teams to meet environmental KPIs.

Fig. 2.2.2: Work Function Steps aligned with Greening Solutions

Benefits of Integrating Greening Solution

Here are the benefits of Integrating Greening Solutions at Work with reference to who gains from them:

- **Reduced energy costs:** Employers and factory owners save money through efficient lighting, machinery, and resource use.
- **Healthier workplace environment:** Workers benefit from better air quality, ventilation, and reduced exposure to harmful chemicals.
- **Enhanced compliance and reputation:** Factories and management gain by meeting buyer requirements and sustainability standards.
- **Increased productivity:** Employees and employers benefit as eco-friendly practices reduce fatigue and improve working conditions.

- **Waste reduction and recycling:** Organizations save on disposal costs while communities benefit from less pollution.
- **Long-term sustainability:** Industry and environment both gain through responsible use of resources and reduced carbon footprint.

2.2.3 Collaboration with Supervisors & Teams

In the apparel sector, compliance to laws and regulations is considered to be a shared responsibility. A Factory Compliance Auditor must work closely with supervisors, line managers, and other team members to ensure that regulatory requirements and buyer compliance standards are consistently met. Collaboration ensures that non-compliance risks are detected early and corrective actions are implemented effectively. It helps in monitoring, educating, supporting, and enabling others to up-hold regulations daily.

Role of Collaboration in Regulatory Compliance

- **Stronger Monitoring:** Multiple eyes on the process help identify issues faster.
- **Shared Knowledge:** Supervisors and team members often know practical ground realities that an auditor may miss.
- **Smooth Implementation:** Compliance policies are more effective when frontline staff understand and support them.

Important methods for Effective Collaboration

Key Methods	Details
Regular Communication	<ul style="list-style-type: none"> • Hold compliance review meetings with supervisors. • Share updated legal requirements or buyer codes of conduct.
Joint Inspections	<ul style="list-style-type: none"> • Conduct factory walk-throughs with production heads and safety officers. • Encourage immediate reporting of unsafe or non-compliant practices.
Training and Awareness Sessions	<ul style="list-style-type: none"> • Collaborate with HR or training departments to run workshops on workplace safety, ethical labour practices, and environmental norms.
Feedback Loops	<ul style="list-style-type: none"> • Create a simple reporting channel for supervisors to inform the auditor about deviations. • Ensure feedback is acknowledged and acted upon quickly.
Problem-Solving Together	<ul style="list-style-type: none"> • Involve team members in brainstorming corrective actions. • Assign responsibilities and timelines for rectification.

Table 2.1.5: Important methods for Effective Collaboration

Benefits of Collaborative Compliance

Within the apparel industry, collaborative compliance is beneficial for both the company and the employees. It brings various benefits which includes improved transparency, better risk-management, and increased efficiency. By working together across teams, supervisors and with suppliers, companies can ensure adherence to regulations, reduce errors, and build stronger relationships with stakeholders. It helps in:

- Faster problem resolution, by addressing the issues at the source.
- Employee ownership, by making workers feel more responsible for compliance.
- Reduced audit failures, by continuous joint monitoring, eventually resulting in avoiding last-minute surprises during buyer or third-party audits.
- Better work culture, by promoting mutual respect and transparency between departments.

This collaborative approach results in better communication, streamlined operations, and eventually, a more ethical and sustainable supply chain.

2.2.4 Reporting Deviations from Regulations

In a factory setting, a deviation from regulations means any activity, condition, or practice that fails to meet legal, buyer, or company compliance standards. Prompt and accurate reporting of such deviations is critical for avoiding production delays, legal penalties, and damage to the company's reputation. A Factory Compliance Auditor must follow a structured, transparent, and prompt reporting procedure for deviations. Clear documentation, timely escalation, and follow-up ensure both legal compliance and buyer satisfaction while safeguarding worker welfare.

Importance of Reporting Deviations

Reporting deviations from regulations is crucial for ensuring ethical practices, worker safety, and product quality, ultimately safeguarding consumer trust and the industry's reputation.

- **Legal Compliance:** Avoid violations of Indian labour laws, environmental norms, and safety standards.
- **Buyer Trust:** Maintain transparency with clients and prevent shipment rejections.
- **Continuous Improvement:** Helps identify and fix root causes of non-compliance.
- **Worker Safety:** Prevents hazards that can cause injury or illness.

Deviations can lead to legal penalties, financial losses, and damage to a company's brand image, while consistent reporting and compliance promote sustainable and responsible business operations.

General Reporting Procedure of deviations from regulations in Apparel Factories



Fig. 2.2.3: Reporting Procedure for deviations

Reporting Chain in an Apparel Sector

The following individuals within the Apparel factories are approached one by one, in order to report the deviations from regulations:

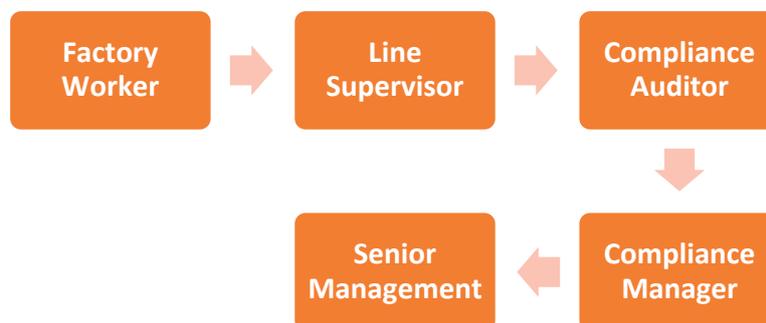


Fig. 2.2.4: Reporting Chain in an Apparel Sector

In some cases, buyer liaison teams or third-party auditors may also be informed if the deviation impacts ongoing orders. In the context of Indian regulations:

- Deviations related to child labour, forced labour, or workplace safety must be treated as critical and reported immediately.
- Factories Act, 1948, Minimum Wages Act, Industrial Safety Rules, and Environmental Protection Act require immediate corrective measures for violations.
- Buyers such as H&M, Zara, or Decathlon often require reporting deviations within 24 hours of detection.

2.2.5 Identifying and Reporting Compliance Risks

In the apparel manufacturing sector, compliance risks are situations or practices that could lead to violations of laws, regulations, buyer codes of conduct, or company policies. A proactive approach to identifying and reporting these risks helps prevent operational disruptions, legal issues, and reputational damage. A Factory Compliance Auditor must actively identify risks through inspections, records review, and worker feedback, and report them promptly using documented, standardized procedures. This proactive approach safeguards the company from penalties and enhances its reputation with clients and regulators.

Compliance Risks in Apparel factories

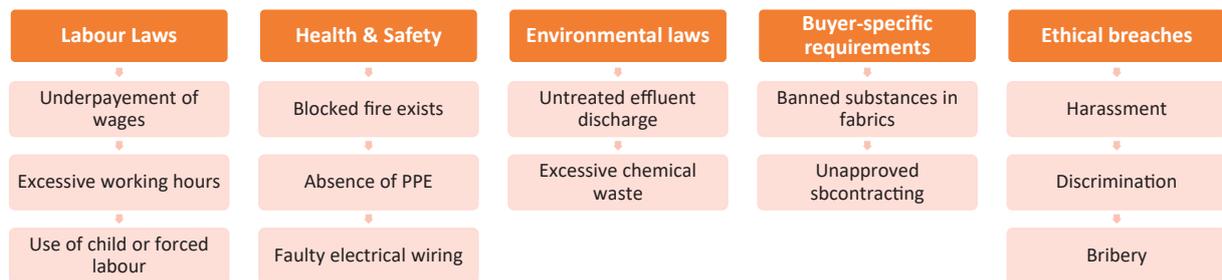


Fig. 2.2.5: Various Compliance Risks in Indian Apparel factories

Methods for identifying Compliance Risks

- **Regular Workplace Inspections:** Routine checks in production areas, storage zones, and utility rooms.
- **Review of Records:** Payroll, attendance logs, safety drills, environmental monitoring reports.
- **Employee Feedback:** Anonymous complaint systems or suggestion boxes.
- **Third-Party Audit Reports:** External assessments can highlight risks missed internally.
- **Monitoring Industry Updates:** Keeping track of changes in Indian laws, global buyer requirements, and certifications (e.g., SA8000, WRAP).

2.2.6 Limits of Personal Responsibility

In the apparel industry, every employee has a role to play in maintaining compliance, but that role has defined boundaries. Understanding these limits of personal responsibility ensures that tasks are handled by the right authority, risks are reported promptly, and accountability is clear. A Factory Compliance Auditor identifies, reports, and follows up on compliance issues, but does not unilaterally make policy, operational, or legal changes. Clear boundaries ensure proper escalation, accountability, and effective resolution of compliance matters.

Importance of Knowing Responsibility Limits

- **Prevents Overstepping Authority:** Avoids taking actions that require management or legal approval.
- **Ensures Proper Escalation:** Helps route compliance issues to the right person or department.
- **Reduces Liability:** Protects individuals from being held accountable for matters outside their scope.
- **Improves Efficiency:** Assigns tasks to those best trained and equipped to handle them.

Scope of a Factory Compliance Auditor's Personal Responsibility

A Factory Compliance Auditor is typically responsible for:

- Monitoring compliance with labour, safety, and environmental laws.
- Inspecting workplace conditions against organizational and buyer requirements.
- Documenting and reporting observed non-compliances.
- Following up on corrective action implementation.
- Training and guiding staff on compliance-related practices.

Boundaries of Responsibility

Certain actions lie outside the direct authority of the compliance auditor. These include:

- Making policy changes without management approval.
- Negotiating directly with buyers on compliance matters without authorisation.
- Issuing legal statements or responding to government notices without company legal team involvement.
- Implementing major operational changes (for example - replacing safety systems, modifying production layouts) without departmental approval.
- Imposing penalties on employees, which is typically handled by HR or senior management.

Escalation Process

When an issue lies beyond personal authority, it is essential to identify and document it. This requires recording the deviation in detail. Reporting to the appropriate level is the next step, which includes Immediate Supervisor, Compliance Manager, and Senior Management (for critical violations). Next, it is essential to follow company policy and use official reporting templates and timelines. The auditor must avoid taking unauthorized action and only act within the boundaries of assigned duties.

Example of Responsibility management in the Apparel Sector

Situation	Personal Responsibility	Beyond Responsibility (Escalate)
Fire extinguisher missing from a sewing line	Report and follow up	Approve purchase or install equipment
Worker without PPE	Instruct to wear PPE and report non-compliance	Approve budget for PPE procurement
Child labour suspicion	Immediately report with evidence	Handle legal procedures and external agency communication
Chemical storage violation	Document and report to safety officer	Modify chemical storage facility

Table 2.1.6: Responsibility management within the Apparel sector

2.2.7 Seeking Clarification on Policies

In the apparel manufacturing industry, policies and procedures define how tasks should be performed to ensure compliance, quality, safety, and efficiency. However, situations often arise where an employee may not fully understand a regulation, compliance requirement, or procedural step. In such cases, seeking timely clarification from authorized personnel is critical to avoid mistakes and maintain standards. A Factory Compliance Auditor should never hesitate to seek clarification when a policy or procedure is unclear. By approaching the correct authorized personnel, documenting the guidance, and applying it correctly, they help maintain accuracy, compliance, and efficiency in the apparel manufacturing process.

Importance of Seeking Clarification

The major importance of seeking clarification is outlined below.

- **Avoids Misinterpretation:** Prevents errors caused by misunderstanding instructions.
- **Ensures Legal and Regulatory Compliance:** Helps meet statutory and buyer-specific requirements.
- **Maintains Consistency:** Ensures all employees follow the same standard operating procedures (SOPs).
- **Builds Trust with Management:** Shows initiative and responsibility in following rules correctly.

Authorised Personnel for Clarification

Authorised personnel are crucial in the apparel sector to provide accurate clarifications on complex policies related to compliance, production standards, quality control, labour laws, and sustainability. These experts ensure that businesses understand and adhere to government regulations and industry best practices, preventing costly mistakes and fostering a transparent, responsible, and efficient operational environment. In the apparel sector, the following people are typically authorised to provide policy and procedural guidance:

- **Immediate Supervisor/ Line Manager:** First point of contact for day-to-day queries.
- **Compliance Manager:** For ethical, legal, and audit-related policies.
- **Human Resource (HR) Department:** For employee conduct, labour laws, and grievance handling

- **Health & Safety Officer:** For workplace safety protocols
- **Quality Control Manager:** For buyer-specific quality and production guidelines

Maintaining the steps for seeking clarification on apparel sector policies is crucial for ensuring legal compliance, consistent operations, and improved worker well-being. This process helps to prevent misunderstandings, reduce costly errors, promote fair labour practices, and improve product quality, ultimately leading to greater business efficiency and a positive reputation within the industry.

Step 1: Identify the Specific Doubt

- Be clear about the exact policy or procedure you do not understand.

Step 2: Check Existing Resources

- Review the employee handbook, SOP manuals, notice boards, or company intranet before approaching others.

Step 3: Approach the Right Person

- Contact the relevant authorised personnel based on the type of query.

Step 4: Use Clear Communication

- State the question precisely, giving context or examples if needed.

Step 5: Document the Clarification

- Record the explanation for future reference and to maintain consistency.

Step 6: Apply the Guidance Immediately

- Implement the clarified instruction in your work process.

Fig. 2.2.6: Steps to Seek Clarification Effectively

Example Scenarios of Seeking Clarification in Apparel Factories

Situation	Authorised Person to Approach	Reason
Uncertainty about worker overtime limits under law	HR Manager	HR handles labour law compliance
Doubt about buyer's chemical restriction list	Compliance Manager	Specialized in buyer-specific regulations
Confusion about waste segregation process	EHS (Environment, Health & Safety) Officer	Expert in sustainable workplace practices
Clarification on reporting non-compliance	Immediate Supervisor / Compliance Manager	Ensures proper escalation

Table 2.1.7: Example Scenarios of Seeking Clarification in Apparel Factories

Best Practices for Requesting Clarification

In order to request clarification, the following best practices can be followed:

- Always be polite and professional.
- Use official communication channels (email, written memo, or verbal request during meetings).
- Avoid making assumptions or improvising without confirmation.
- Share the clarification with colleagues if it affects their work too.

2.2.8 Importance of Following Organisational Procedures Daily

Organisational policies and procedures in the apparel industry are formal guidelines that define how operations should be carried out to ensure compliance, quality, safety, and efficiency. For a Factory Compliance Auditor, consistently following these rules in daily work is essential to meet legal obligations, buyer requirements, and ethical standards. Following organisational policies daily is not just a formality, but the foundation for legal compliance, safety, quality, efficiency, and reputation in the apparel sector. A Factory Compliance Auditor plays a critical role in making sure these procedures are embedded into daily work practices and consistently upheld.

Importance of Following Procedures Daily

- **Maintains Product Quality**
 - Adherence to labour laws, environmental regulations, and buyer-specific codes of conduct.
 - Avoids penalties, factory blacklisting, or loss of contracts.
- **Maintains Product Quality**
 - Prevents deviations in raw material usage, manufacturing standards, and quality checks.
 - Ensures the end product meets brand and customer expectations.
- **Promotes Workplace Safety**
 - Follows safety protocols for machinery handling, fire safety, and chemical storage.
 - Reduces accident risks and ensures worker well-being.
- **Improves Efficiency**
 - Streamlines processes by reducing rework, delays, and miscommunication.
 - Helps in consistent production flow and timely delivery.
- **Strengthens Reputation**
 - Builds trust with buyers, suppliers, and employees.
 - Demonstrates professionalism and commitment to ethical business practices.

Examples of Organisational Procedures in Apparel Factories

Procedure Type	Example
Operational SOPs	Raw material inspection checklist, stitching guidelines, final quality audit steps
Health & Safety	Use of PPE, machine guard protocols, emergency evacuation plans
Environmental	Waste segregation rules, water recycling practices

Procedure Type	Example
Compliance & Ethics	Anti-child labour policy, anti-harassment procedures
Documentation	Maintaining production logs, compliance audit reports

Table 2.1.8: Organisational Procedures in Apparel Factories

Role of the Factory Compliance Auditor in maintaining the organisational procedures are as follows:

- **Monitoring:** Verify that every department follows standard operating procedures (SOPs).
- **Training:** Educate workers and supervisors on policy changes and compliance requirements.
- **Reporting:** Escalate deviations or repeated violations to management.
- **Updating Records:** Keep documentation aligned with policy updates.

2.2.9 Energy Conservation in Apparel Sector

Energy conservation in the apparel sector is critical for cost reduction, environmental sustainability, and compliance with green manufacturing standards. For a Factory Compliance Auditor, evaluating and recommending energy-saving practices is an important part of ensuring the factory meets both buyer sustainability goals and regulatory requirements. Energy conservation in the apparel sector is not just an environmental obligation but a business necessity. By adopting efficient technologies, optimizing processes, and encouraging behavioural changes among workers, factories can significantly reduce energy costs while meeting sustainability commitments. A Factory Compliance Auditor ensures these practices are implemented, monitored, and improved continuously.

Importance of Energy Conservation

- **Reduces Operational Costs:** Energy is a major cost factor in garment manufacturing.
- **Improves Environmental Footprint:** Lowers greenhouse gas emissions and resource consumption.
- **Supports Buyer Requirements:** Many international brands require proof of sustainable energy use.
- **Meets Indian Environmental Policies:** Aligns with India's Energy Conservation Act and renewable energy initiatives.

Key Energy-Consuming Areas in Apparel Factories

Process Area	Process	Examples
Fabric Pro-cessing	Energy is consumed in running steam boilers for washing, dyeing, and finishing fabrics.	 <p data-bbox="1043 757 1206 788">Steam boilers</p>
Sewing & Stitching	Electricity powers sewing machines and lighting for stitching operations.	 <p data-bbox="976 1227 1273 1258">Electric sewing machines</p>
Finishing & Ironing	Steam irons and pressing equipment require significant energy for garment finishing.	 <p data-bbox="1056 1617 1190 1648">Steam irons</p>

Process Area	Process	Examples
Climate Control	Air conditioners and ventilation fans consume energy to maintain temperature and airflow.	 <p>Air conditioners</p>
Lighting	Electrical energy is used to illuminate factory floors, warehouses, and offices for safe operations.	 <p>Warehouses</p>

Table 2.1.9: Energy-Consuming Areas in Apparel Factories

Practical Ways to Conserve Energy in the Apparel Industry

Process	Procedures
Machinery & Equipment	Use energy-efficient sewing machines (servo motors instead of clutch motors).
	Schedule regular maintenance to prevent energy loss from faulty equipment.
	Introduce automatic shut-off features for idle machinery.
Process Optimisation	Adopt low-temperature dyeing and washing techniques.
	Use heat recovery systems to reuse steam or hot water in fabric processing.
	Optimize production planning to reduce machine idle time.
Lighting	Replace CFLs or tube lights with LED lighting.
	Install motion sensors in less frequently used areas.
	Utilize natural daylight by adding skylights or transparent roofing panels.

Process	Procedures
Climate Control	Improve insulation to reduce heating/cooling needs.
	Use energy-efficient air conditioners and fans.
	Implement zonal cooling instead of cooling the entire facility.
Renewable Energy	Install solar panels for powering lighting and small equipment.
	Use biomass boilers for steam generation in place of fossil fuels.

Table 2.1.10: Practical Ways to Conserve Energy in the Apparel Industry

It is the responsibility of the Factory Compliance Auditor to enhance the ways for conserving energy. The roles have been provided below:

- **Assessment:** Conduct periodic energy audits to identify wastage.
- **Monitoring:** Track energy consumption trends and compare against benchmarks.
- **Training:** Educate workers on energy-saving habits, such as turning off idle machines.
- **Reporting:** Suggest investment in energy-efficient technology to management.
- **Compliance:** Ensure practices meet ISO 50001 (Energy Management Systems) and buyer sustainability codes.

Benefits of Energy Conservation

- **For a Organisation**
 - Lower production costs
 - Competitive advantage in green markets
 - Better companies with buyer audits
- **For the Environment**
 - Reduced carbon footprint
 - Lower pollution and resource depletion
 - Supports India's sustainable development goals

Summary

- Laws, codes, and compliance frameworks guides ethical and safe practices in the apparel industry.
- Compliance is essential in maintaining brand reputation, worker safety, and sustainable production.
- It is essential to learn about national labour laws in India (working hours, wages, benefits, health & safety).
- International standards like SA8000, BSCI, WRAP, and ILO conventions are given much importance in the apparel industry.
- Buyer-specific Codes of Conduct are introduced as benchmarks for supplier compliance.
- Social compliance requirements, includes prohibition of child labour, forced labour, and discrimination.
- Environmental compliance (waste management, eco-friendly practices, sustainable sourcing) is emphasised.
- The role of auditors in monitoring, identifying, and reporting non-compliances is discussed.
- Compliance is highly linked with risk management and supply chain sustainability.
- Auditors equips with legal, ethical, and operational knowledge to evaluate factories effectively.

Exercise

Multiple-choice Question:

1. Which international organization sets global labour standards that influence compliance in the apparel sector?

a. WTO	b. ILO
c. WHO	d. UNDP

2. Which of the following is not a common social compliance requirement?

a. No child labours	b. No forced labour
c. Safe working conditions	d. Profit margin disclosure

3. Which Indian law governs minimum wages and fair pay practices in the apparel sector?

a. Factories Act, 1948	b. Minimum Wages Act, 1948
c. Payment of Gratuity Act, 1972	d. Industrial Disputes Act, 1947

4. Which buyer-specific standard/code is widely used to assess social and ethical practices in factories?

a. ISO 14001	b. BSCI
c. CE Marking	d. ISI Certification

5. What is the main purpose of environmental compliance in the apparel industry?
 - a. Increase sales in the local market
 - b. Reduce production costs
 - c. Manage waste and promote sustainable practices
 - d. Ensure faster production

Descriptive Questions:

1. Explain the importance of compliance in the apparel sector and its impact on brand reputation and worker welfare.
2. Describe the major labour laws in India that are relevant to factory compliance auditors.
3. Differentiate between national compliance laws and international buyer codes of conduct in the apparel sector.
4. How do environmental compliance practices (like waste management, eco-friendly fabrics, and energy efficiency) contribute to sustainability in apparel manufacturing?
5. What role does a Factory Compliance Auditor play in identifying, reporting, and resolving non-compliances in factories?



3. Introduction to Compliance and Standards



Unit 3.1 - Apparel Industry Processes, Compliance, and Regulations



Key Learning Outcomes

By the end of this module, the participants will be able to:

1. Describe the environment, processes and systems in an apparel factory.
2. Describe procedures involved in product manufacturing in the factory; quality checking and tolerances; reporting and compliance; and classification of major or minor deviations, if any.
3. Explain the terminology associated with the apparel industry.
4. Analyse the standards which will be used to check the compliance of various products.
5. Discuss legal terminologies with respect to the industry laws.
6. Discuss compliance and social audit procedures.
7. Describe various practices and procedures related to the apparel industry.
8. State laws related to the industry functioning and processes, labour laws.
9. Interpret the regulations, policies and guidelines related to the system/industry.

UNIT 3.1: Apparel Industry Processes, Compliance, and Regulations

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe the environment, processes, and systems within an apparel factory
2. Elaborate on the procedures involved in product manufacturing, quality checking, tolerances, reporting, compliance, and classification of deviations
3. Explain the terminology associated with the apparel industry
4. Analyse the standards utilized for compliance checks of various products in the apparel sector
5. Discuss the legal terminologies relevant to industry laws
6. Discuss the procedures for compliance and social audits within the apparel industry
7. Describe various practices and procedures followed in the apparel industry
8. State the laws governing industry functions, processes, and labour laws
9. Interpret the regulations, policies, and guidelines that apply to the apparel industry

3.1.1 Apparel Factory Environment & Systems

An apparel factory operates as a highly coordinated ecosystem where physical environment, production processes, and operational systems work together to ensure quality manufacturing, compliance with regulations, and efficiency in output. An apparel factory's environment, processes, and systems form the backbone of production. A well-maintained physical setup, streamlined manufacturing processes, and robust operational systems ensure product quality, timely delivery, and adherence to compliance standards. It is the core areas a Factory Compliance Auditor must monitor and evaluate.



Fig. 3.1.1: An Apparel Factory

Factory Environment

The factory environment refers to the physical and organizational setup in which apparel manufacturing occurs. It includes:

- **Infrastructure Layout:** Separate sections for fabric storage, cutting, sewing, finishing, packing, and quality control, ensuring smooth material flow.

- **Workplace Conditions:** Adequate lighting, ventilation, temperature control, and noise management to meet health and safety standards.
- **Ergonomics:** Proper workstation design to reduce worker fatigue and increase efficiency.
- **Cleanliness & Hygiene:** Adherence to 5S principles (Sort, Set in order, Shine, Standardize, Sustain) to maintain a safe and organized workplace.
- **Safety Provisions:** Fire safety equipment, clearly marked exits, safety drills, and accessible first-aid facilities.

Production Processes

The processes in an apparel factory typically follow a sequential and interconnected workflow:

Processes	Work Done
<p style="text-align: center;">Fabric Inspection & Storage</p> 	<p>Checking incoming materials for defects before storage.</p>
<p style="text-align: center;">Fabric Spreading & Cutting</p> 	<p>Automated or manual spreading and precision cutting of fabric layers.</p>

Processes	Work Done
	
<p style="text-align: center;">Sewing / Assembly</p> 	<p>Stitching components using industrial sewing machines, ensuring adherence to style specifications.</p>
<p style="text-align: center;">Quality Control (In-line & Final)</p> 	<p>Checking garments at different stages for compliance with quality and tolerance limits.</p>
<p style="text-align: center;">Finishing</p> 	<p>Pressing, attaching trims, and preparing garments for packing.</p>

Processes	Work Done
<p style="text-align: center;">Packing & Dispatch</p> 	<p>Packing garments as per buyer specifications and arranging shipment.</p>

Table 3.1.1: Production Processes in an apparel factory

Factory Systems

The systems refer to the operational and management frameworks that ensure production efficiency and compliance:



Fig. 3.1.2: Factory Systems in an Apparel Factory

Relevance to a Factory Compliance Auditor

For a Factory Compliance Auditor, understanding the environment, processes, and systems is essential because of the following reasons:

- **Audit Scope:** They must check whether the working environment meets safety, health, and legal standards.
- **Process Verification:** Ensure production processes follow approved SOPs and meet buyer compliance.
- **System Evaluation:** Assess whether documentation, reporting, and monitoring systems are functioning as per industry and regulatory requirements.

3.1.2 Manufacturing Procedures & Quality Tolerances

In the apparel industry, manufacturing procedures define the step-by-step process of converting raw materials into finished garments, while quality tolerances set the acceptable limits for variations in product specifications. Both are critical to ensuring customer satisfaction, compliance with buyer standards, and maintaining brand reputation. Well-structured manufacturing procedures ensure consistency, while clearly defined quality tolerances maintain product standards. Together, they form the backbone of apparel production and directly influence customer satisfaction, compliance ratings, and business reputation.



Fig. 3.1.3: Manufacturing Procedures in the apparel industry

Manufacturing Procedures

The manufacturing process in an apparel factory typically follows these core stages:

Pre-Production Stage	
Order Analysis	Reviewing buyer requirements, technical specifications, and compliance expectations.

Sample Development	Making prototypes, fit samples, and pre-production samples for buyer approval.
Material Procurement & Inspection	Sourcing fabrics, trims, and accessories, followed by quality checks for colour, GSM, shrinkage, and defects.
Production Planning	Scheduling production, allocating machinery, and assigning manpower.
Production Stage	
<p style="text-align: center;">Fabric Spreading</p> 	Layering fabric evenly to avoid distortion in cutting.
<p style="text-align: center;">Fabric Cutting</p> 	Using manual cutters or automated machines for precision cutting as per pattern.
<p style="text-align: center;">Bundling</p> 	Grouping cut pieces to streamline sewing operations.

Sewing/Assembly



Stitching garment components using industrial machines, following operation breakdowns.

In-Process Quality Control (IPQC)



Inspecting during sewing to detect and correct defects early.

Post-Production Stage

Finishing



Thread trimming, pressing, attaching labels, and adding decorative elements.

Final Quality Inspection



Assessing completed garments against approved samples and buyer standards.

<p style="text-align: center;">Packing & Labelling</p> 	<p>Folding, tagging, and packing garments as per customer requirements.</p>
<p style="text-align: center;">Dispatch</p> 	<p>Transporting goods for delivery while ensuring proper documentation.</p>

Table 3.1.2: Manufacturing Process in an Apparel Factory

Quality Tolerances

Quality tolerances refer to the permissible limits of deviation from approved specifications in garments. In the apparel industry, these are defined by buyers and international standards such as AQL (Acceptable Quality Limit). The common tolerance parameters within this sector include:

- **Measurement Tolerance:** Small size variations allowed (e.g., ± 0.5 cm in garment dimensions).
- **Colour Matching Tolerance:** Acceptable difference in shade (measured using a spectrophotometer).
- **Stitch Density & Seam Allowance:** Controlled to ensure durability and appearance.
- **Fabric Defect Tolerance:** Minor defects like slubs or mis weaves within specified limits.

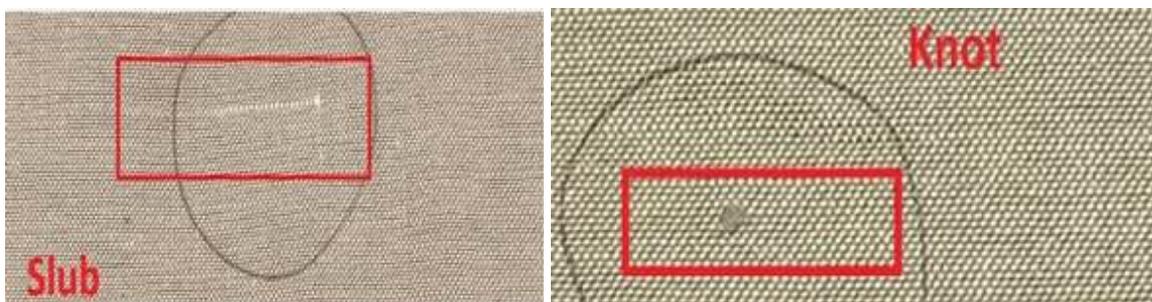


Fig. 3.1.3: Different types of fabric defects

In terms of defects in fabric quality, there are critical defects, major defects, and minor defects. Critical defects are those that affect safety or functionality such as broken zipper, sharp objects left inside, while major defects are those that reduce product usability or appearance significantly. Lastly, minor defects

in apparels include those, that do not significantly affect performance or appearance but deviate from standards.

Importance for a Factory Compliance Auditor

A Factory Compliance Auditor must:

- Verify that manufacturing procedures follow documented SOPs.
- Ensure quality checkpoints are integrated into every stage of production.
- Assess whether tolerances align with buyer requirements and international standards.
- Identify non-conformities and recommend corrective measures.

3.1.3 Reporting, Compliance & Deviation Classification

In the apparel industry, reporting, compliance, and deviation classification are key pillars for maintaining product quality, ensuring adherence to buyer requirements, and meeting legal and ethical standards. These processes ensure that any issue is identified, documented, and resolved in a timely and systematic manner.

Reporting Procedures in Apparel Factories

Reporting refers to the formal documentation and communication of observations, findings, and corrective actions during manufacturing and inspection.

- **Purpose of Reporting**
 - To maintain transparency in production processes.
 - To provide traceable records for audits and buyer inspections.
 - To enable timely corrective action for identified issues.
- **Reporting Workflow**
 - **Detection of an Issue:** Identified through in-line inspections, audits, or operator feedback.
 - **Documentation:** Recording defect type, location, batch number, operator ID, and date in inspection sheets or digital systems.
 - **Communication:** Immediate notification to the concerned department (production, quality, compliance).
 - **Corrective & Preventive Action (CAPA):** Steps taken to fix the defect and prevent recurrence.
 - **Follow-Up Reporting:** Verification of implemented corrective actions and final clearance.

Compliance in the Apparel Sector

Compliance ensures that the factory's operations meet legal requirements, buyer guidelines, and international standards. It covers:

- **Product Compliance:** Meeting technical specifications, safety standards, and quality requirements.
- **Social Compliance:** Adhering to labour laws, workplace safety, and ethical manufacturing practices.
- **Environmental Compliance:** Following environmental laws, waste management norms, and sustainability protocols.

In terms of Compliance in the Apparel Sector, the primary role of the Factory Compliance Auditor is to evaluate manufacturing practices against set standards, conduct regular compliance audits, identify gaps in legal, social, or environmental compliance and recommended actions.

Classification of Deviations

Deviation means any departure from approved standards, procedures, or specifications. Classifying deviations helps determine the severity of the problem and urgency of corrective action. The different types of Deviations in Apparel Industry are outlined below.

Category	Description	Examples	Action
Critical Deviations	Severe non-conformities affecting safety, legality, or customer safety.	Needle fragments in garments, wrong fibre content label, flammability issues.	Immediate production stop, 100% inspection, and root cause analysis.
Major Deviations	Significant defects affecting function, appearance, or buyer acceptance.	Wrong shade, broken stitching, incorrect sizing beyond tolerance.	Rework or rejection based on buyer instructions.
Minor Deviations	Small, permissible defects that do not affect overall performance or safety.	Slight shade variation within tolerance, minor loose threads.	Acceptable with documentation, but monitored for recurrence.

Table 3.1.3: Classification of Deviations

Importance of Reporting, Compliance & Deviation Classification for the Apparel Sector

- **For Buyers:** Ensures that products meet their quality and compliance expectations.
- **For Manufacturers:** Reduces rework, rejections, and financial losses.
- **For Compliance Auditors:** Provides a systematic approach to identifying, reporting, and resolving non-conformities.

3.1.4 Key Terminology in the Apparel Industry

Understanding the key terminology of the apparel sector is essential for anyone working in manufacturing, quality assurance, or compliance. This shared vocabulary ensures clear communication, prevents misunderstandings, and maintains uniformity in processes across departments and with buyers.

Term	Meaning
Cutting	Process of cutting fabric into garment components as per patterns.
Pattern	Template or shape used to cut fabric pieces accurately.
Sewing Line	Series of workstations where garment components are stitched together.
Marker	Layout plan showing how fabric will be cut to minimize waste.
SAM (Standard Allowed Minutes)	Time allowed to complete a task under standard working conditions.

Term	Meaning
AQL (Acceptable Quality Level)	Statistical measure defining maximum number of defective items allowed in a sample size.
Tolerance	Permissible limit of variation in measurement or quality.
Inline Inspection	Quality check during production to detect defects early.
Final Inspection	Inspection after full production before shipment.
Defect Classification	Categorizing defects as critical, major, or minor based on severity.
Social Compliance	Adhering to labour rights, fair wages, and safe working conditions.
C-TPAT	Customs-Trade Partnership Against Terrorism – security-related trade program.
BSCI	Business Social Compliance Initiative – for improving working conditions.
CAPA	Corrective and Preventive Action to eliminate and prevent issues.
Audit Trail	Documented evidence of activities and inspections.
GSM (Grams per Square Meter)	Weight of fabric used to measure thickness and quality.
Warp & Weft	Lengthwise and crosswise yarns in woven fabric.
Blend	Combination of different fibres in a fabric.
Selvage	Finished edge of woven fabric to prevent fraying.
Dye Lot	Batch of fabric dyed together to maintain colour consistency.
Packing List	Document listing items in a shipment.
Bill of Lading (B/L)	Shipping document issued by carrier acknowledging receipt of goods.
HS Code	Harmonized System Code for classifying goods in trade.
FOB (Free on Board)	Trade term meaning the seller delivers goods to port of shipment.
Ex-Factory Date	The date goods leave the manufacturing facility.

Table 3.1.4: Terminologies in the Apparel Industry

Knowing industrial terminology is very essential for a Factory Compliance Auditor, due to the following reasons:

- **Accuracy in Audits:** Prevents errors in understanding processes and documents.
- **Clear Communication:** Helps interact effectively with buyers, managers, and auditors.
- **Efficiency in Reporting:** Enables precise defect descriptions and compliance findings.
- **Professional Credibility:** Shows industry knowledge and boosts trust from stakeholders.

3.1.5 Product Compliance Standards & Checks

Compliance standards in the apparel sector ensure that products meet quality, safety, legal, and buyer-specific requirements before being shipped. For a Factory Compliance Auditor, knowledge of these standards is crucial for evaluating whether garments comply with Indian regulations, international norms, and customer expectations.

Categories of Compliance Standards

Categories	Standards
Quality Standards	<p>ISO 9001:2015</p> 
	<p>AQL (Acceptable Quality Level)</p> 
	<p>BIS Standards (Bureau of Indian Standards)</p> 
	<p>Buyer-specific Quality Manuals</p>

Categories	Standards
<p>Safety Standards</p>	<p>OEKO-TEX® Standard 100</p> 
	<p>REACH Compliance (EU Regulation)</p> 
	<p>CPSIA (Consumer Product Safety Improvement Act – USA)</p> 
	<p>CPSIA (Consumer Product Safety Improvement Act – USA)</p>
<p>Social & Ethical Standards</p>	<p>BSCI (Business Social Compliance Initiative)</p> 
	<p>SA8000</p> 

Categories	Standards
	<p>SEDEX / SMETA Audits</p>  <p>SMETA the Sedex Members Ethical Trade Audit</p> 
<p>Environmental Standards</p>	<p>ISO 14001</p>  <p>ISO 14001</p>
	<p>ZDHC (Zero Discharge of Hazardous Chemicals)</p> 
	<p>GOTS (Global Organic Textile Standard)</p> 

Table 3.1.5: Categories of Compliance Standards

Process of Compliance Checks



Fig. 3.1.4: Compliance Checks

Step 1: Pre-Production Checks

- Verify fabric testing reports (colourfastness, shrinkage, chemical safety).
- Review trims and accessories for safety (e.g., no sharp edges, nickel-free buttons).
- Check against buyer specifications and lab test requirements.

Step 2: In-Process Compliance Audits

- Inline quality inspections to catch defects early.
- Check for measurement deviations within tolerance limits.
- Review workplace safety and process adherence.

Step 3: Final Product Compliance Checks

- Random sampling using AQL methodology.
- Compare product to approved samples for colour, fit, and finish.
- Verify lab test certificates and compliance documents.

Step 4: Documentation & Reporting

- Maintain audit trails with test results, inspection reports, and corrective actions.
- Highlight critical, major, and minor defects with photographic evidence.

Examples of Buyer-Specific Standards

Example of Buyer	Standards
<p>Aditya Birla Fashion & Retail (Pantaloon, Van Heusen, Allen Solly)</p> 	<p>Social compliance audits, BSCI certification, chemical management (ZDHC).</p>

Example of Buyer	Standards
<p style="text-align: center;">Reliance Trends</p> 	<p>Vendor Code of Conduct compliance, product quality testing, worker welfare audits.</p>
<p style="text-align: center;">Shoppers Stop</p> 	<p>OEKO-TEX certification, ethical sourcing audits, safety compliance in factories.</p>
<p style="text-align: center;">Tata Trent (Westside)</p> 	<p>SA 8000 certification, sustainable sourcing (organic/fair-trade cotton), fire safety checks.</p>
<p style="text-align: center;">Arvind Lifestyle Brands</p> 	<p>ISO 14001 (environment management), ZDHC compliance, employee health & safety standards.</p>

Table 3.1.6: Buyer-Specific Standards

Importance of Compliance Standards within the Apparel Sector are as follows:

- Prevents shipment rejections and financial losses.
- Ensures legal conformity with Indian and global regulations.
- Builds brand reputation through quality and ethical manufacturing.
- Reduces risk of safety hazards or product recalls.

3.1.6 Legal Terminology for Apparel Industry Laws

Understanding legal terminology is essential for a Factory Compliance Auditor because compliance audits often involve reviewing labour regulations, trade laws, environmental laws, and contractual clauses in the apparel sector. Clear knowledge of these terms ensures accurate interpretation of policies and avoidance of violations.

Term	Meaning	Relevance in Apparel Sector
Labour Law Terms		
Minimum Wages Act	Law setting the lowest remuneration payable to workers.	Ensures garment workers receive fair pay.
Working Hours & Overtime	Rules under the Factories Act, 1948 limiting daily/weekly working hours and regulating overtime pay.	Prevents excessive working hours in stitching and finishing units.
Provident Fund (PF)	Social security contribution under the EPF & MP Act, 1952.	Ensures post-retirement benefits for workers.
ESI (Employees' State Insurance)	Medical benefits for employees earning below a threshold.	Provides health coverage for factory workers.
Gratuity	Lump sum payment for employees completing a minimum tenure.	Supports long-term employee welfare.
Standing Orders	Written rules on work conduct and discipline.	Ensures uniform disciplinary procedures in garment factories.
Trade & Export-Import Law Terms		
HS Code (Harmonized System Code)	International product classification for trade.	Used for customs clearance of apparel exports.
Letter of Credit (LC)	A bank document guaranteeing payment to the exporter.	Ensures payment security in international garment trade.
Incoterms	International Commercial Terms defining buyer-seller responsibilities.	Decides risk transfer points in apparel shipping.
Export License	Government permit to export specific goods.	Required for certain restricted textile categories.
Compliance & Audit Terms		
Code of Conduct	Buyer's ethical and operational guidelines for suppliers.	Ensures suppliers follow fair labour, safety, and environmental rules.
Non-Compliance	Failure to meet legal or contractual requirements.	Triggers corrective action plans in audits.
Corrective Action Plan (CAP)	Document outlining steps to fix violations.	Used after audit findings in garment factories.
Major / Minor Non-Conformance	Classification of violations based on severity.	Helps in prioritizing corrective actions.

Environmental & Safety Law Terms		
Pollution Control Board (PCB) Clearance	Permit to operate with safe waste management practices.	Mandatory for dyeing and washing units.
Hazardous Waste Rules	Legal norms for storing, handling, and disposing of chemicals.	Applies to textile wet processing units.
Fire Safety Certificate	Government-issued clearance confirming workplace safety.	Compulsory for all apparel factories.
Occupational Health & Safety (OHS)	Regulations ensuring worker safety at the workplace.	Covers PPE use, machine guarding, and ergonomic safety.

Table 3.1.7: Legal Terminologies for Apparel Industry Laws

Knowing legal terminology is very essential for Apparel Compliance, for a Factory Compliance Auditor, due to the following reasons:

- Avoids misinterpretation of laws during audits.
- Prevents penalties from labour inspectors or export authorities.
- Ensures smooth communication with legal departments, government agencies, and buyers.
- Enhances credibility of audit reports and compliance records.

3.1.7 Compliance and Social Audit Procedures in the Apparel Sector

Compliance and social audits are essential in the apparel industry to ensure that factories follow legal, ethical, environmental, and customer-specific standards. These audits not only assess whether laws and regulations are being followed, but also ensure that workers' rights, safety, and environmental practices are protected, meeting both domestic laws and international buyer requirements. The compliance and social audits in the apparel sector ensure that factories not only meet legal requirements but also uphold ethical and sustainable practices, which are increasingly demanded by global buyers and consumers.

Purpose of Compliance and Social Audits

There are several purposes of compliance and social audits in the apparel sector, which are outlined below.

- To verify adherence to labour laws, environmental rules, and workplace safety standards.
- To check compliance with buyer's code of conduct (e.g., fair wages, no child labour).
- To identify risks of non-compliance and recommend corrective actions.
- To maintain India's global competitiveness in apparel exports by meeting international standards.

Types of Audits in the Apparel Sector

Types	Activity
Compliance Audit	Ensures adherence to Indian laws (Factories Act, Minimum Wages Act, ESI, PF, etc.).
	Reviews documentation (wage slips, attendance, safety certificates).
Social Audit	Conducted by third-party agencies or buyers to evaluate working conditions.
	Covers child labour, forced labour, discrimination, harassment, health & safety.
Environmental Audit	Focuses on water treatment, hazardous waste disposal, chemical usage in textile processes.
Health & Safety Audit	Ensures compliance with fire safety norms, PPE usage, ergonomic practices.

Table 3.1.8: Types of Audits in the Apparel Sector

Compliance & Social Audit Procedure (Step-by-Step)

Step 1: Pre-Audit Preparation

- Factory is informed of audit scope.
- Documents (licenses, payroll, policies) prepared for review.
- Workers are briefed on the audit process.

Step 2: Opening Meeting

- Auditor explains objectives, scope, and confidentiality.
- Factory management introduces key representatives.

Step 3: Documentation Review

- Check employment records, contracts, and statutory compliance (PF, ESI, maternity benefits)

Step 4: Factory Walkthrough (Site Observation)

- Inspect work floor, fire exits, ventilation, lighting, and machine safety.
- Review waste management systems and chemical storage.

Step 5: Worker Interviews

- Confidential discussions with workers (without management present).
- Topics: wages, overtime, harassment, freedom of association, grievance redressal.

Step 6: Identification of Non-Compliance

- Major Non-Conformance (serious violations: child labour, locked fire exits).
- Minor Non-Conformance (documentation gaps, minor delays in compliance).

Step 7: Closing Meeting

- Auditor presents preliminary findings.
- Management acknowledges gaps and agrees to corrective actions.

Step 8: Corrective Action Plan (CAP)

- Factory submits timeline-based plan to fix non-compliance.
- Follow-up audits confirm improvements.

Fig. 3.1.5: Compliance & Social Audit Procedure

Key Standards & Frameworks Used in Social Audits

- **SA 8000 (Social Accountability International):** A globally recognized standard that ensures safe working conditions, fair wages, reasonable working hours, and prohibition of child or forced labour, promoting overall worker rights and social accountability in factories.
- **WRAP (Worldwide Responsible Accredited Production):** An independent certification program focusing on lawful, humane, and ethical manufacturing, ensuring compliance with labour laws, workplace safety, and environmental practices in apparel production facilities.
- **Sedex / SMETA Audits (Ethical Trade Audits):** A widely used social audit methodology assessing labour standards, health and safety, environment, and business ethics, helping brands and suppliers improve responsible sourcing practices.
- **BSCI (Business Social Compliance Initiative):** A leading supply chain management system that supports companies in improving working conditions in their global supply chains through a common Code of Conduct and regular audits.
- **ISO 45001 (Occupational Health & Safety):** An international standard that provides a framework for managing occupational health and safety risks, aiming to reduce workplace injuries, illnesses, and promote employee well-being.
- **ISO 14001 (Environmental Management):** An international standard that sets out requirements for an effective environmental management system (EMS), helping organisations minimise their environmental impact, comply with regulations, and improve sustainability practices.

Benefits of Compliance and Social Audits

Compliance and social audits help factories ensure adherence to labour laws, safety regulations, and environmental standards, reducing risks of legal penalties. They also enhance brand reputation, build trust with buyers, and improve worker welfare, leading to better productivity and long-term sustainability in the apparel industry.



Fig. 3.1.6: Benefits of Compliance and Social Audits

3.1.8 Industry Practices and Standard Procedures in the Apparel Sector

The apparel industry follows well-defined practices and standard procedures to ensure efficiency, quality, compliance, and sustainability. These procedures span across manufacturing, worker management, compliance, and customer requirements, forming the backbone of apparel production and exports. The apparel sector follows structured practices and procedures to ensure quality, compliance, sustainability, and competitiveness in global markets. These include manufacturing SOPs, labour law adherence, quality control, buyer-specific compliance, and environmental management. Together, these practices create a responsible and efficient ecosystem, ensuring trust from buyers and long-term growth for the industry.

Workplace Practices

Workplace practices are essential in the apparel sector to ensure fair treatment of workers, safe working conditions, and compliance with labor laws. They promote ethical operations, enhance productivity, and build stronger relationships with global buyers who demand socially responsible supply chains.



Fig. 3.1.7: Workplace Practices

Manufacturing Practices

Manufacturing practices in the apparel sector are crucial for maintaining quality, efficiency, and consistency in production. They help reduce wastage, optimize resource utilization, and ensure compliance with buyer requirements, thereby enhancing competitiveness in both domestic and global markets. These include:

- **Standard Operating Procedures (SOPs):** Detailed guidelines for cutting, sewing, finishing, and packing.
- **Line Balancing & Production Planning:** Allocating tasks to optimize efficiency and minimize idle time.
- **Lean Manufacturing & Kaizen:** Adoption of waste-reduction techniques and continuous improvement culture.
- **Quality Assurance Systems:** Inline and end-line inspections, AQL (Acceptable Quality Level) checks, and final audits.

Compliance Practices

Compliance practices in the apparel sector ensure adherence to labor laws, safety regulations, and environmental standards. They build trust with buyers, enhance brand reputation, and minimize risks of penalties or order cancellations, making them essential for sustainable business growth.

Labour Law Compliance

Adherence to Factories Act, Minimum Wages Act, ESI, PF, maternity and overtime laws.

Customer-Specific Codes of Conduct

Meeting requirements from international buyers (child labour prohibition, fair wages, working hours).

Environmental Sustainability

Adoption of wastewater treatment, chemical safety (ZDHC standards), and energy conservation measures.

Social Accountability

Following frameworks like SA8000, WRAP, and BSCI for ethical practices.

Fig. 3.1.8: Compliance Practices

Documentation and Record-Keeping Procedures

Documentation and record-keeping provide evidence of compliance with buyer requirements, labour laws, and safety standards. They ensure transparency, support audits, and help track performance for continuous improvement in factory operations. These includes: production records where daily output logs, and machine maintenance schedules are kept, compliance documentation where licenses, permits, wage slips, safety certificates, audit reports are taken care of. Moreover, this procedure also includes HR and worker records that keeps records of attendance, wage payments, contracts, grievance redressal records.

The image displays two digital forms side-by-side. The left form is titled 'Bill Pay Form' and contains the following fields: 'Month' (dropdown), 'Category' (dropdown), 'Bill' (dropdown), 'Amount' (text input with a currency symbol), 'Due Date' (calendar icon), and 'Date Paid' (calendar icon). The right form is titled 'Attendance Record Form' and contains: 'Name' (dropdown), 'Month' (dropdown), 'Day' (dropdown), 'Attendance' (dropdown), and a 'Comments' text area. Both forms have a green 'Submit' button at the bottom.

Fig. 3.1.9: Records of attendance, Wage payments

Quality & Inspection Procedures

Quality and inspection procedures are essential to ensure that garments meet buyer specifications, international standards, and customer expectations. They help reduce defects, maintain consistency, and build trust with global buyers. The major quality and inspection procedures are outlined below.

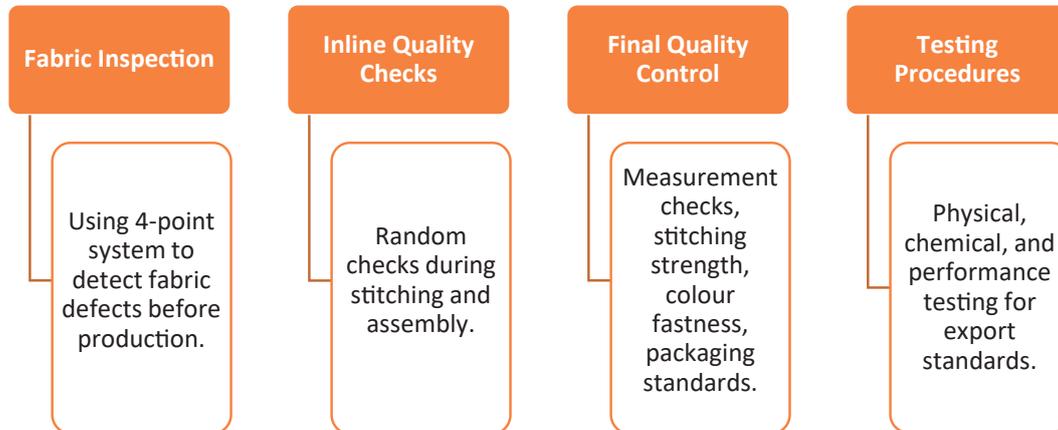


Fig. 3.1.10: Quality & Inspection Procedures

Export & Customer-Related Procedures

Export and customer-related procedures are essential in the apparel sector to ensure that international trade requirements, buyer-specific standards, and documentation like shipping and customs are accurately followed. They help maintain strong buyer relationships, timely deliveries, and compliance with global market expectations, thereby boosting trust and long-term business growth.



Fig. 3.1.11: Reporting on production status, delays, and corrective actions.

Ethical & Value-Based Practices

Ethical and value-based practices in the apparel sector are crucial for ensuring fair wages, safe working conditions, and respect for workers' rights. They also enhance brand reputation, build buyer confidence, and support sustainable growth in an increasingly socially conscious global market.

Labelling & Packaging Standards

Compliance with customer-specific packaging requirements.

Logistics & Supply Chain Management

Coordination with freight forwarders, export documentation (bills of lading, invoices).

Buyer Communication

Reporting on production status, delays, and corrective actions.

Fig. 3.1.12: Ethical & Value-Based Practices

Technological Practices

Technological practices in the apparel sector are essential to improve production efficiency, accuracy, and speed through automation and digital tools. They also support sustainable manufacturing by reducing waste, optimizing resource use, and meeting global buyer expectations for innovation.

- **ERP & MIS Systems:** Digital systems to track production, compliance, and inventory.
- **Automation:** Use of CAD for pattern making, automated cutting machines, and AI-driven quality checks.



Fig. 3.1.13: Automated cutting machines

- **Sustainability Tools:** Carbon footprint calculators, energy monitoring systems, waste segregation.



Fig. 3.1.14: Energy Monitoring System

3.1.9 Industry Laws and Labour Regulations

The apparel sector operates under a comprehensive legal and regulatory framework designed to ensure fair labour practices, safe working conditions, environmental sustainability, and compliance with trade requirements. For a Factory Compliance Auditor, understanding these laws is crucial to evaluate whether factories operate within legal boundaries. The apparel sector is guided by a robust legal framework that covers factory operations, worker welfare, environmental sustainability, trade regulations, and labour rights. A Factory Compliance Auditor must be well-versed with these laws to ensure that factories operate ethically, legally, and sustainably while meeting global buyer expectations.

Laws Governing Industry Functions and Processes

These laws are responsible for regulating factory operations, production processes, and environmental management. These include:

Act	Functions
Factories Act, 1948	Governs working hours, occupational safety, health, welfare, and workplace conditions.
Environment Protection Act, 1986	Provides measures for controlling pollution, waste management, and eco-friendly practices.
Water (Prevention & Control of Pollution) Act, 1974	Regulates industrial effluents and mandates treatment plants.
Air (Prevention & Control of Pollution) Act, 1981	Controls emission levels in factories.
Hazardous Waste (Management & Handling) Rules, 1989	Provides guidelines for handling and disposal of chemicals and dyes in garment units.
Legal Metrology Act, 2009	Ensures correct packaging, labelling, and weight measurement standards for garments.

Table 3.1.8: Laws Governing Industry Functions and Processes

Labour Welfare and Social Security Laws

Labour Welfare and Social Security laws help in protecting the rights, wages, and social benefits of the workers. These include:

Minimum Wages Act, 1948	• Ensures fair wages to workers, periodically revised by state governments.
Payment of Wages Act, 1936	• Regulates the timely payment of wages without unauthorized deductions.
Employees' State Insurance Act, 1948 (ESI)	• Provides medical benefits to workers and their families.
Employees' Provident Fund & Miscellaneous Provisions Act, 1952 (EPF)	• Mandates retirement benefits and savings for employees.
Maternity Benefit Act, 1961	• Provides paid maternity leave and safeguards employment of women workers.

Payment of Bonus Act, 1965

- Ensures bonus payments based on profit or productivity.

Gratuity Act, 1972

- Provides retirement and gratuity benefits to long-serving employees.

Fig. 3.1.15: Labour Welfare and Social Security Laws

Recent Labour Law Reforms (Labour Codes)

The Government of India has consolidated numerous labour laws into four Labour Codes for simplification. These include:

Code on Wages, 2019: Combines Minimum Wages, Payment of Wages, Bonus, and Equal Remuneration Acts.

Code on Social Security, 2020: Merges EPF, ESI, Maternity, and Gratuity provisions.

Occupational Safety, Health and Working Conditions Code, 2020: Consolidates laws related to workplace health and safety.

Industrial Relations Code, 2020: Deals with trade unions, dispute resolution, and employment contracts.

Fig. 3.1.16: Recent Labour Law Reforms (Labour Codes)

The recent Labour Law Reforms in India, consolidated into four Labour Codes, such as Wages, Industrial Relations, Social Security, and Occupational Safety, Health & Working Conditions, aim to simplify compliance and improve worker welfare. In the apparel sector, these reforms impact wages, contract employment, working conditions, and social security, ensuring better labour rights while making compliance easier for factories. Compliance auditors will need to stay updated on the new codes, ensure factories implement them correctly, and verify adherence during audits to avoid legal and buyer-related non-compliance.

3.1.10 Regulations, Policies & Guidelines Interpretation

The apparel sector operates within a multi-layered regulatory framework that includes laws, government policies, and international buyer guidelines. For a Factory Compliance Auditor, it is not enough to simply know these rules but it is equally important to be able to interpret and apply them correctly in practical factory settings. Interpreting regulations, policies, and guidelines in the apparel sector requires a balanced understanding of legal mandates, national policies, and international buyer expectations. A Factory Compliance Auditor acts as a bridge, ensuring that factories remain legally compliant while also meeting global sustainability and ethical standards.

Understanding Regulations

Regulations are legally enforceable rules issued by government authorities. Interpreting them involves checking how they apply to:

- **Workplace Safety & Health:** under the Factories Act, 1948 and Occupational Safety, Health & Working Conditions Code, 2020.
- **Labour Rights:** wages, working hours, overtime, and social security under the Code on Wages, 2019 and Code on Social Security, 2020.
- **Environmental Compliance:** waste disposal, pollution control, and eco-friendly practices under the Environment Protection Act, 1986, and Pollution Control Board (PCB) guidelines.
- **Export & Trade Compliance:** ensuring garments meet quality, packaging, and labelling requirements under Textiles Committee Act, 1963 and Legal Metrology Act, 2009.

Interpretation means understanding not only the text of the regulation but also its intent and how it affects day-to-day factory functioning.

Understanding Policies

Policies are government frameworks designed to guide industrial growth, sustainability, and fair trade. In apparel, interpretation includes:

- **National Textile Policy (2000; revised in 2020 draft):** This helps in promoting modernization, sustainability, and exports.
- **National Manufacturing Policy:** This policy helps in encouraging ease of doing business while ensuring compliance with labour laws.
- **Skill India Mission & SAMARTH Scheme:** This helps in training and compliance in workforce development.
- **Labour Codes Implementation Policies:** This helps in harmonizing old labour laws into simplified codes.

For auditors, interpreting policies means recognizing how national objectives (like “Make in India” or sustainability goals) translate into factory-level expectations, e.g., greener production methods or worker skilling.

Understanding Guidelines

Interpreting guidelines means understanding how global expectations align with Indian factory practices and ensuring the factory can demonstrate compliance during audits.

Guidelines are generally issued by buyers, international agencies, or industry bodies. They may not always be legally binding but are critical for compliance and exports:

- **Buyer Codes of Conduct:** such as H&M standards on labour rights and ethical sourcing.
- **ILO Conventions:** guidelines on decent work, elimination of forced/child labour, and gender equality.
- **ISO Standards:** e.g., ISO 14001 (environmental management), ISO 45001 (occupational health & safety).
- **Sustainability Guidelines:** such as ZDHC (Zero Discharge of Hazardous Chemicals) and OEKO-TEX® certifications.
- **SA8000:** global social accountability standard for labour rights.

Summary

- Factory Compliance Auditors must be familiar with key labour laws, environmental acts, and health & safety regulations.
- The Factories Act, 1948 regulates working hours, safety measures, and welfare of factory workers.
- The Minimum Wages Act, 1948 ensures workers are paid fairly according to state-notified rates.
- The Payment of Wages Act, 1936 governs timely and accurate payment of wages.
- The Child Labour (Prohibition and Regulation) Act, 1986 prohibits hazardous work by children and regulates adolescent employment.
- The Environmental Protection Act, 1986 sets standards for pollution control and sustainable practices in industries.
- The Occupational Safety, Health and Working Conditions Code, 2020 integrates multiple labour laws to ensure safe and humane working environments.
- Compliance auditors must also check adherence to international standards like SA8000, BSCI, WRAP, and ILO conventions.
- Non-compliance can lead to legal penalties, cancelled export orders, and brand reputation damage.
- Auditors act as a bridge to ensure that factories align with both national laws and international buyer requirements.

Exercise

Multiple-choice Question:

1. Which Act governs the safety, health, and welfare of workers in Indian factories?
 - a. Minimum Wages Act, 1948
 - b. Factories Act, 1948
 - c. Payment of Wages Act, 1936
 - d. Environmental Protection Act, 1986

2. The Minimum Wages Act, 1948 was introduced to:
 - a. Regulate child labour
 - b. Ensure safe working conditions
 - c. Fix fair wages for workers
 - d. Control pollution in factories

3. Which law prohibits employment of children in hazardous industries?
 - a. Payment of Bonus Act, 1965
 - b. Industrial Disputes Act, 1947
 - c. Child Labour (Prohibition and Regulation) Act, 1986
 - d. Trade Unions Act, 1926

4. Which international standard focuses on social accountability and ethical labour practices?
 - a. ISO 9001
 - b. SA8000
 - c. WRAP
 - d. ILO Code

5. What is the major risk of non-compliance with labour or safety laws for apparel factories?
 - a. Faster production
 - b. Lower wages
 - c. Legal penalties and brand reputation damage
 - d. Increased worker satisfaction

Descriptive Questions:

1. Explain the importance of the Factories Act, 1948 in ensuring worker safety and welfare in garment factories.
2. How does the Minimum Wages Act, 1948 protect workers in the apparel industry?
3. Describe the role of a Factory Compliance Auditor in ensuring adherence to international standards such as SA8000 and BSCI.
4. Discuss the impact of environmental laws like the Environmental Protection Act, 1986 on sustainable apparel manufacturing.
5. What consequences can a factory face if it fails to comply with labour laws and buyer-specific codes of conduct?

4. Preparation for the Audit Procedure



Unit 4.1 - Audit and Quality Control Processes in Compliance



Key Learning Outcomes

By the end of this module, the participants will be able to:

1. Describe how to analyse reports.
2. Describe the organization's tools, templates and processes for recording and monitoring process confirmation and deviations.
3. Describe quality control / quality assurance processes; and their periodicity.
4. Describe various reporting procedures and formats related to quality control/quality assurance.
5. Prepare an audit checklist.
6. Collect, analyse and evaluate the previous audit records.
7. Analyse the collected audit records.
8. Evaluate the previous audit records to identify the areas of concern.
9. Identify the areas to focus on when conducting the audit based on the previous records/audit history.
10. Collect the necessary tools/reference papers and other materials that would be required for conducting compliance audit.
11. Communicate the compliance audit plan to the relevant people.

UNIT 4.1: Audit and Quality Control Processes in Compliance

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe the methods used to analyse reports
2. Explain the organization's tools, templates, and processes for recording and monitoring process confirmation and deviations
3. Discuss the quality control and quality assurance processes, including their periodicity
4. Outline various reporting procedures and formats related to quality control and quality assurance
5. Prepare an audit checklist for effective compliance audits
6. Collect and analyse previous audit records to evaluate compliance history
7. Illustrate how to analyse collected audit records to assess their accuracy and reliability
8. Evaluate previous audit records to identify areas of concern and potential improvements
9. Describe the focus areas when conducting an audit based on prior audit history and records
10. Collect necessary tools, reference materials, and documents required for conducting a compliance audit
11. Communicate the compliance audit plan to the relevant stakeholders for clear understanding and alignment

4.1.1 Methods of Report Analysis

Reports play a critical role in monitoring production efficiency, quality control, worker safety, compliance with legal standards, and customer requirements within the apparel sector. For a Factory Compliance Auditor, the ability to analyse reports effectively ensures that gaps are identified, deviations are addressed, and corrective actions are taken in a timely manner. For a Factory Compliance Auditor, report analysis is not just about reading figures, but it also involves interpreting patterns, deviations, and risks to ensure compliance with laws, regulations, and customer requirements. By applying methods like trend analysis, comparative analysis, RCA, and risk-based assessment, auditors ensure that factories remain compliant, efficient, and aligned with sustainability and ethical standards.

Key Methods of Report Analysis

Method	Definition	Application in Apparel Sector
1. Quantitative Data Analysis	Examining measurable data like production output, defect percentages, absenteeism rates, machine downtime, or energy consumption.	<ul style="list-style-type: none"> • Calculating defect percentage per batch. • Identifying productivity per worker or per machine. • Monitoring overtime hours to ensure compliance with labour laws.
2. Trend Analysis	Studying patterns over time to detect improvements or deteriorations.	<ul style="list-style-type: none"> • Tracking rejection rates across months. • Monitoring compliance issues raised during multiple audits.

Method	Definition	Application in Apparel Sector
		<ul style="list-style-type: none"> Identifying recurring safety violations or absenteeism cycles.
3. Comparative Analysis	Comparing results against benchmarks, standards, or previous records.	<ul style="list-style-type: none"> Comparing factory performance with customer quality standards (AQL – Acceptable Quality Level). Benchmarking against industry averages for productivity or compliance. Cross-checking working hours with national labour law limits.
4. Root Cause Analysis (RCA)	Identifying the underlying causes of problems instead of only noting surface-level symptoms.	<ul style="list-style-type: none"> Investigating repeated needle breakages in stitching lines. Finding reasons behind high worker turnover (e.g., poor working conditions, delayed wages). Analysing root causes of safety violations (lack of training, poor PPE use).
5. Variance Analysis	Checking the difference between planned outcomes and actual results.	<ul style="list-style-type: none"> Planned vs. actual production output. Planned compliance scores vs. achieved scores. Budgeted cost of compliance vs. actual expenditure.
6. Risk-Based Analysis	Prioritising areas with highest compliance or quality risks.	<ul style="list-style-type: none"> Assessing reports for child labour, forced labour, or fire safety lapses (high-risk). Highlighting deviations in critical safety equipment (sprinklers, fire exits). Focusing on reports from subcontractors, who may have weaker compliance.
7. Qualitative Analysis	Reviewing descriptive information (non-numerical data) like worker feedback, supervisor comments, or audit observations.	<ul style="list-style-type: none"> Analysing worker grievances or suggestion box inputs. Evaluating auditor notes on hygiene and safety practices. Reviewing customer feedback reports on product quality.

Table 4.1.1: Different Methods of Report Analysis

Report Analysis Framework for Apparel Sector

Step 1: Collect & Organize Reports

- Production reports (output, downtime, rework).
- Quality inspection reports (defects, AQL results).
- Compliance reports (safety checks, labour law adherence).
- Worker feedback/grievance logs.
- Previous audit reports.

Step 2: Data Verification

- Cross-check report data with physical records (e.g., attendance sheets, wage slips).
- Ensure authenticity (signatures, dates, department approvals).
- Eliminate duplicate or incomplete entries.

Step 3: Quantitative Analysis

- Check numerical data (production, quality defects, energy use).
- Calculate key ratios:
 - Defect % = $\text{Defects} \div \text{Total Pieces} \times 100$
 - Absenteeism % = $\text{Absent Workers} \div \text{Total Workers} \times 100$
- OT Hours vs. legal maximum.

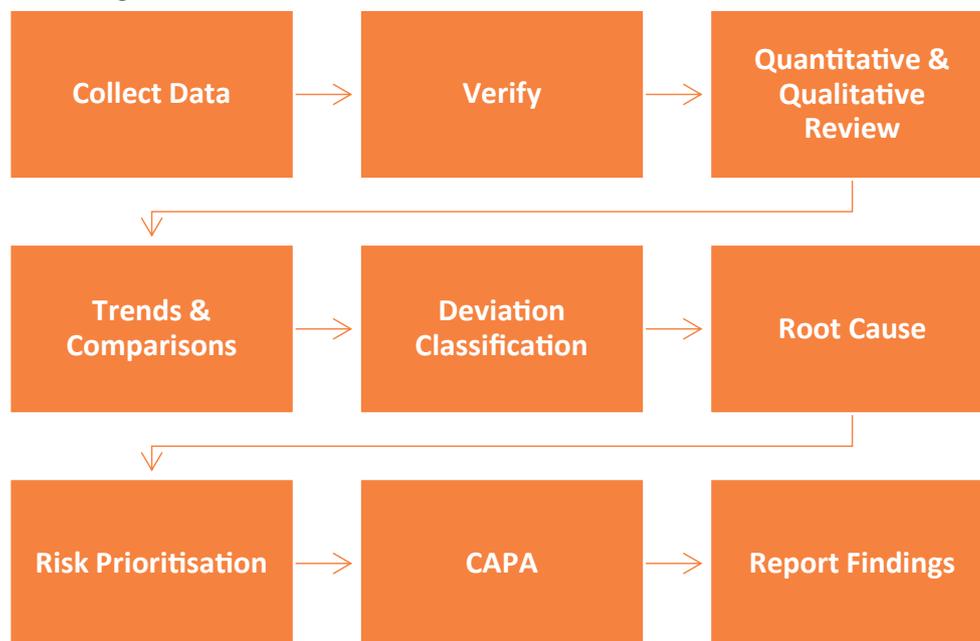


Fig. 4.1.1: Visual Flow of Reporting

Step 4: Qualitative Review

- Read supervisor notes, worker complaints, auditor comments.
- Highlight repeated issues (e.g., “ventilation inadequate” appears in multiple reports).

Step 5: Trend Analysis

- Compare current vs. past months.
- Identify recurring deviations (needle breakage, fire exits blocked).
- Mark areas of improvement or deterioration.

Step 6: Comparative Analysis

- Benchmark against:
 - Legal standards (Factories Act, Labour Codes).
 - Customer requirements (BSCI, WRAP, SA8000).
 - Internal company policies.

Step 7: Deviation & Root Cause Identification

- Classify deviations as:
 - Minor (incorrect labelling, small stitching faults).
 - Major (blocked fire exits, underage worker found).
 - Use Root Cause Analysis (RCA) tools like 5 Whys or Fishbone Diagram.

Step 8: Risk-Based Prioritisation

- High Risk result in Safety hazards, child labour, fire safety.
- Medium Risk result in Poor recordkeeping, minor hygiene lapses.
- Low Risk result in Documentation delays, formatting errors.

Step 9: CAPA (Corrective & Preventive Action) Recommendations

- Suggest corrective steps (e.g., unblock fire exits immediately).
- Suggest preventive steps (e.g., monthly fire drill).

Step 10: Report & Communicate Findings

- Summarize analysis in a structured format.
- Highlight critical risks first.
- Share findings with management & compliance teams.

4.1.2 Tools, Templates & Monitoring Processes

In the apparel sector, systematic tools and templates are used to record, track, and monitor process confirmation and deviations. These instruments ensure that factories remain compliant with quality standards, labour laws, and buyer requirements. Apparel factories rely on structured tools (checklists, registers, digital systems), standardized templates (Deviation Reports, CAPA, QC formats), and systematic monitoring processes to ensure compliance. This structured approach helps auditors verify adherence to quality, safety, labour, and buyer compliance standards while ensuring traceability and accountability.

Tools for Process Confirmation & Monitoring for Process Confirmation & Monitoring

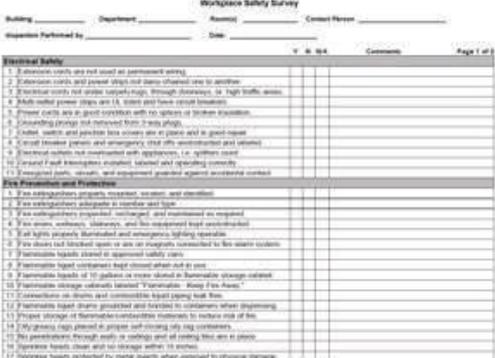
Tools	Types
<p style="text-align: center;">Checklists</p> 	<ul style="list-style-type: none"> • Pre-defined audit checklists (e.g., fire safety, machine safety, wage documentation).
<p style="text-align: center;">Registers & Logbooks</p> 	<ul style="list-style-type: none"> • Attendance registers, overtime registers, accident logs, and chemical usage logs.
<p style="text-align: center;">Digital Monitoring Tools</p> 	<ul style="list-style-type: none"> • ERP (Enterprise Resource Planning) software for production and compliance tracking. • HRMS (Human Resource Management Systems) for worker records.
<p style="text-align: center;">Measuring Tools</p> 	<ul style="list-style-type: none"> • GSM Cutter with GSM Scale for quality monitoring

Table 4.1.2: Tools for Process Confirmation & Monitoring

Templates Commonly Used in Apparel Factories

- Deviation Report Template (DRT):** A document used to record, track, and analyse any deviations from standard processes, procedures, or compliance requirements in factory operations. This template helps to record non-conformities (e.g., incorrect labelling, fire exit blocked). This also help in capturing date, department, issue, severity, responsible person, corrective action.

Protocol Number: 12345
 Deviation Number: 1
 Test Case & Test Step # 1, Step 10

1. DISCREPANCY

Description
 This is a sample deviation report generated by FastVal. This report was generated to show an example of a sample deviation report.

2. CAUSE INVESTIGATION RESULTS N/A

This was a sample deviation report. There was no actual deviation.

3. RESOLUTION: Corrective Action Justification N/A

No corrective action is required.

4. CONCLUSION (Impact to the protocol) Risk

No further actions are required.

5. SIGNATURES

Print Name	Signature	Date
Author		
System Owner		
Quality /Validation		

Fig. 4.1.2: Deviation Report Template (DRT)

- Corrective Action & Preventive Action (CAPA) Template:** A structured document used to record non-conformities, outline corrective measures, and implement preventive actions to avoid recurrence. It is used to propose corrective and preventive solutions, and links root cause with assigned responsibility and deadline.

Company Logo, Name	CORRECTIVE AND PREVENTIVE ACTION		Doc. No: QMS/CAPA/1 Issue No:01 Rev. No:00 Date:
Identification of Problem:			
Correction/ Containment Action:			
Why-Why Analysis			
Why1		Ans.	
Why2		Ans.	
Why3		Ans.	
Why4		Ans.	
Why5		Ans.	
RC(Root cause)			
Implementation of Action plan			
Corrective Action		Target Date	Responsibility
Preventive Action		Target Date	Responsibility
Verification of Implemented Action plan:			Sig.

Fig. 4.1.3: CAPA Template

- Quality Inspection Templates:** Standardised forms used to record and evaluate product quality, ensuring apparel meets buyer specifications and industry standards. This include inline Inspection Format (during production), and final Inspection Format (AQL-based sampling, defect categories).

Fig. 4.1.4: Quality Inspection Template

- Health, Safety & Environment (HSE) Checklist:** A tool used during audits to verify compliance with workplace safety, occupational health, and environmental management standards in factories. These include fire safety, chemical handling, ventilation, ergonomics.

Location: [Specify location]

Date: [insert date]

Inspector[s]: [insert name(s)]

Department/Area Inspected: [Specify area]

Item	Description	Yes/No/NA	Notes/Action Required	Completed By	Completion Date
1.1	All employees have completed mandatory safety training				
1.2	Risk assessments have been conducted for all work areas				
1.3	PPE is provided, maintained, and used correctly by employees				
1.4	Emergency response plans				

Fig. 4.1.5: HSE Checklist

- Worker Welfare Template:** It is a structured document used to record and monitor initiatives, facilities, and compliance measures related to employee well-being, such as health, safety, wages, and workplace benefits. This include grievance redressal log and worker committee meeting minutes' details.

The image shows a registration form titled "Registration form for employee benefits". The form is a grid with 10 columns and 20 rows. The columns are labeled as follows: "Employee ID", "Name", "Address", "Phone", "Email", "Date of Birth", "Gender", "Marital Status", "Religion", and "Blood Group". The rows are empty, ready for data entry.

Fig. 4.1.6: Worker Welfare Template

Monitoring Processes

Monitoring Processes in the Apparel Industry involve systematically tracking and evaluating different stages of production and compliance to ensure efficiency, quality, and adherence to standards. This includes monitoring production processes, Health, Safety & Environment (HSE), workforce welfare, compliance standards, and supply chain practices. Effective monitoring ensures improved productivity, consistent quality, legal compliance, and sustainable operations in the apparel sector. The major steps in the monitoring process are illustrated below.



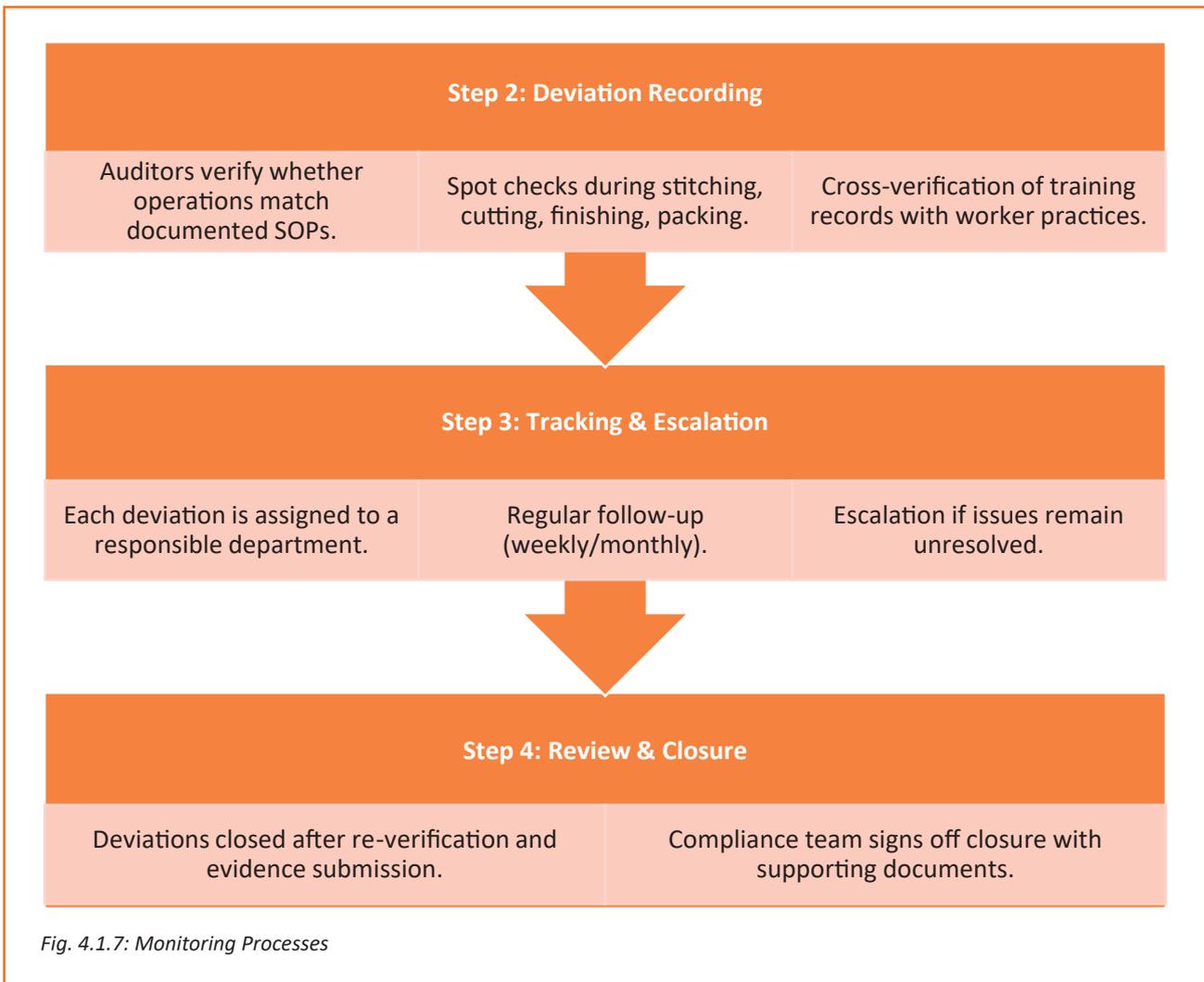


Fig. 4.1.7: Monitoring Processes

4.1.3 Quality Control and Quality Assurance Processes

In the apparel sector, Quality Control (QC) and Quality Assurance (QA) are critical to ensure that garments meet buyer requirements, international standards, and regulatory compliance. While QC focuses on detecting defects, QA emphasizes prevention through process management. Both work together to maintain consistency, customer satisfaction, and compliance. Quality Control ensures defect detection at every production stage (fabric, cutting, stitching, finishing, packing), while Quality Assurance ensures systematic prevention of defects through SOPs, training, machine calibration, and audits. The periodicity of QC (hourly/daily/lot-wise) and QA (weekly/monthly/annually) ensures that the apparel sector maintains both product quality and global compliance standards.

Quality Control (QC)

Quality Control (QC) refers to the operational techniques and activities used to check products for defects and ensure they meet set specifications. The major stages of QC in Apparel Factories are outlined below.

Stages	What Happens	Periodicity
Fabric Inspection (Pre-production QC)	4-point system used to check fabric defects (knots, stains, shade variation).	Each fabric roll checked before cutting.

Stages	What Happens	Periodicity
Cutting QC	Pattern alignment, cut accuracy, notches, fabric grain checked.	Every marker/lot checked.
In-line QC (Stitching Stage)	Random inspection of operators' work for seam quality, stitch balance, SPI (stitches per inch).	Hourly or per batch.
End-line QC	100% garment checking at the end of the sewing line for major defects (broken stitch, open seam, wrong label).	Every piece checked in high-risk styles; sampling in low-risk styles.
Final Inspection (Pre-shipment QC)	AQL (Acceptable Quality Level) sampling method used. Common standards followed: AQL 2.5 or 4.0.	Each shipment before dispatch.

Table 4.1.2: Stages of QC in Apparel Factories

Quality Assurance (QA)

Quality Assurance (QA) is a systematic approach that ensures quality by controlling processes, training, and compliance systems rather than only inspecting final output. The important QA practices within the apparel sector include:

- **Standard Operating Procedures (SOPs):** Documented for cutting, stitching, finishing, packing.
- **Training & Skill Development:** Workers trained on machine handling, safety, and quality.
- **Calibration of Machines:** Regular checks for cutting machines, sewing machines, ironing equipment.
- **Supplier Quality Assurance:** Audits of fabric, trims, and accessory suppliers.
- **Compliance with Standards:** ISO 9001 (QMS), ISO 14001 (EMS), WRAP, SA8000.
- **Root Cause Analysis (RCA):** Used for defect prevention (e.g., fishbone diagram)

Periodicity of QC & QA Processes

Process	Frequency/ Periodicity
Fabric Inspection	Every fabric roll, before cutting
Cutting QC	Each marker/lot
In-line QC	Hourly or per production batch
End-line QC	100% inspection or sampling (depending on risk)
Final Inspection (AQL)	Before every shipment
Machine Calibration (QA)	Weekly / Monthly
Worker Training (QA)	Quarterly / as per buyer requirement
Supplier Audits (QA)	Annually or bi-annually
Internal Quality Audits (QA)	Monthly / Quarterly

Table 4.1.3: Periodicity of QC & QA Processes

4.1.4 Reporting Procedures and Formats

Importance of Reporting in QC/QA

Reporting in quality control (QC) and quality assurance (QA) ensures that every stage of apparel production is monitored, documented, and reviewed for compliance with buyer requirements, industry standards, and legal obligations. Clear and standardized reports help in:

- Tracking deviations and corrective actions
- Maintaining transparency with buyers and auditors
- Establishing accountability at every stage

Reporting procedure in QC/QA

Inspection-Based Reporting

- Inline inspection reports (after each operation/stage)
- End-line inspection reports (before moving to the next process)
- Final inspection reports (before shipment)

Deviation Reporting

- Documenting deviations from specifications (fabric defects, stitching errors, measurement variations)
- Root cause analysis and corrective action plan

Non-Conformance Reports (NCRs)

- Used when products fail to meet standards
- Record of defect type, frequency, and corrective action

Audit Reports

- Internal audit findings on process compliance
- External audit reporting for buyers or regulatory bodies

Fig. 4.1.8: Reporting procedure in QC/QA

Common Reporting Formats Used in the Apparel Sector

Reporting Formats	Details
Daily Production & Quality Log Sheets	Track number of pieces produced, inspected, and rejected
	Record of rework and repair
Defect Classification Reports	Minor, major, and critical defects logged in tabular format
	Defect percentage calculated for decision-making
Checklists	Inline QC checklists (stitch type, seam quality, labelling, trims, measurements)
	Final inspection checklist (packing, folding, carton marking, labelling compliance)

Reporting Formats	Details
Compliance Tracking Reports	Record adherence to buyer-specific standards, e.g., AQL (Acceptable Quality Level)
	Environmental and social compliance reports
Digital Reporting Systems	ERP/QMS (Enterprise Resource Planning / Quality Management Systems) for real-time reporting
	E-forms, dashboards, and automated defect tracking

Table 4.1.4: Common Reporting Formats Used in the Apparel Sector

Periodicity of Reports

- **Daily Reports:** Production & inline QC reports
- **Weekly Reports:** Summarized quality trend reports, corrective actions
- **Monthly Reports:** Audit findings, compliance updates, management review
- **Pre-Shipment Reports:** Final inspection reports submitted to buyers

Sample QC Inspection Report Format

Factory Name: _____

Buyer: _____

Style No.: _____

Order No.: _____

Date of Inspection: _____

Inspector Name: _____

1. General Information

Parameter	Details
Product Type	(e.g., Shirt, Trouser, T-shirt)
Order Quantity	_____
Sample Size Checked	_____
AQL Standard Applied	(e.g., 2.5 / 4.0)
Stage of Inspection	Inline / End-Line / Final

2. Measurement Check Table

Measurement Point	Specification (cm)	Tolerance (±)	Actual	Result (Pass/Fail)
Chest (½)	50	±1.0	50.5	Pass
Sleeve Length	62	±0.5	63.0	Fail

Measurement Point	Specification (cm)	Tolerance (\pm)	Actual	Result (Pass/Fail)
Bottom Hem	52	± 1.0	51.5	Pass

3. Defect Classification Report

Defect Type	Minor	Major	Critical	Total
Stitching Defects	4	2	0	6
Fabric Defects	3	1	0	4
Label/Tag Errors	1	1	0	2
Packing Errors	0	1	0	1
Total Defects	8	5	0	13

4. Compliance Checklist

Item	Yes	No	Remarks
Correct labelling & barcodes	✓		OK
Packaging as per buyer specs	✓		OK
Carton marking correct		X	Wrong size mentioned
Trims/accessories approved	✓		Verified

5. Inspector's Summary

Total Pieces Checked: _____

Defects Found: _____

Pass/Fail Decision: PASS / FAIL

Corrective Action Required: _____

Inspector's Signature: _____

Date: _____

4.1.5 Preparing an Audit Checklist

An audit checklist is a structured tool used by compliance auditors to systematically verify whether an apparel factory adheres to legal, quality, social, safety, and environmental requirements. It ensures consistency, efficiency, and objectivity during audits. A well-prepared audit checklist acts as a roadmap for auditors, ensuring that apparel factories maintain legal compliance, worker welfare, and international buyer standards.

Benefits of an Audit Checklist are as follows:

- An audit checklist ensures that no critical area of compliance or quality is overlooked during the audit process.
- It standardizes the audit procedure, making results more consistent and comparable across different factories or time periods.
- The checklist saves time by providing a clear sequence of items to verify, which streamlines the auditor's work.
- It creates a documented record of the audit, which improves accountability and supports corrective actions.
- The checklist helps identify recurring issues and supports continuous improvement by tracking the same parameters over time.

Steps to Prepare an Effective Audit Checklist**Step 1: Understand Audit Scope**

- Identify the type of audit: compliance, quality, social, environmental, or combined.
- Review buyer requirements, local labour laws, and organizational standards.

Step 2: Refer to Standards and Regulations

- Indian labour laws (Factories Act, Minimum Wages Act, Child Labour Prohibition Act).
- International buyer standards (e.g., ISO 9001, SA 8000, WRAP).
- Environmental standards (pollution control, waste management).

Step 3: Divide Checklist into Key Sections

- Factory environment & infrastructure.
- Human resources & labour laws compliance.
- Documentation & reporting practices.

Step 4: Frame Questions/Criteria

- Convert requirements into Yes/No or Compliant/Non-Compliant questions.
- Add a column for remarks and corrective actions.

Step 5: Test and Revise Checklist

- Pilot test the checklist in one department.
- Revise based on feedback and applicability.

Fig. 4.1.9: Steps to Prepare an Effective Audit Checklist

Section	Audit Point	Compliant (Yes/No)	Remarks / Evidence
Factory Environment	Is the factory building structurally safe and approved by local authorities?	Yes	Valid structural safety certificate available from local municipal authority.

Section	Audit Point	Compliant (Yes/No)	Remarks / Evidence
	Are fire exits clearly marked, unlocked, and accessible?	Yes	Fire exits inspected; all clearly marked and accessible during audit.
Labour Laws	Are workers above 18 years of age (no child labour)?	Yes	Worker IDs and personnel records verified; no underage workers found.
	Are wages paid as per the Minimum Wages Act?	Yes	Payroll records and wage slips confirm compliance with minimum wage requirements.
	Are working hours in line with the Factories Act?	No	Overtime logs show occasional excess hours beyond legal limits.
Health & Safety	Are PPE (masks, gloves, helmets) provided to workers where required?	Yes	PPE observed in use at stitching, cutting, and dyeing sections.
	Are first aid kits and fire extinguishers available and functional?	Yes	Kits fully stocked and fire extinguishers inspected with valid maintenance tags.
Quality Control	Are inline inspections conducted regularly?	Yes	Inline QC reports reviewed; inspections carried out at critical production stages.
	Is final inspection done before shipment?	Yes	Final QA inspection reports signed and verified prior to dispatch.
Environmental Compliance	Is wastewater treated before disposal (as per Pollution Control Board norms)?	No	Effluent Treatment Plant under maintenance; partial compliance observed.
	Are hazardous chemicals stored and labelled properly?	Yes	Chemicals stored in separate designated area with proper labelling and MSDS available.
Documentation	Are records of audits, inspections, and corrective actions maintained?	Yes	Audit records, QC reports, and CAPA documents maintained and updated monthly.

Table 4.1.5: Sample Audit Checklist

4.1.6 Collecting and Analysing Previous Audit Records

Audit records serve as the historical evidence of a factory's compliance performance. Collecting and analysing these records helps compliance auditors in the apparel sector to identify patterns, recurring issues, strengths, and weaknesses in factory operations. This process ensures that the upcoming audit is focused, effective, and aligned with compliance objectives. In the apparel sector of India, collecting and analysing previous audit records acts as a roadmap for auditors, enabling them to ensure not only compliance but also continuous improvement and sustainability in factory operations.

Step 1: Collection of Previous Audit Records

- Auditors must gather all relevant records before initiating a new audit, including:
 - Internal Audit Reports which are conducted by the factory's own compliance/quality team.
 - External Audit Reports involving buyer audits, third-party inspections (ISO, WRAP, SEDEX, SA 8000).
 - Regulatory Compliance Reports involving labour inspector reports, fire safety, environmental audits.
 - Corrective Action Plans (CAPs) where previous corrective and preventive actions are taken.
 - Non-Conformance Reports (NCRs) involving details of violations or deviations.
 - Production and Quality Records involving rejection rates, rework percentages, shipment delays.
 - Health, Safety & Environment (HSE) Records involving accident reports, safety drills, pollution control logs.

Step 2: Analysis of Audit Records

Once records are collected, the analysis is carried out in the following manner:

- **Trend Analysis**
 - Check if certain issues (e.g., excessive overtime, needle safety, fire exits blocked) appear repeatedly.
 - Identify whether corrective actions from past audits were sustainable.
- **Root Cause Identification**
 - Evaluate if non-compliances were due to lack of awareness, negligence, or systemic gaps.
 - For example: if wages were delayed repeatedly, was it due to payroll mismanagement or financial instability?
- **Severity Assessment**
 - Classify non-compliances into critical, major, or minor based on risk to workers, environment, or product quality.
 - Example: child labour = critical; incomplete training records = minor.
- **Effectiveness of Corrective Actions**
 - Verify whether earlier corrective actions (e.g., installation of fire alarms, training on PPE use) were implemented and maintained.
- **Compliance History Evaluation**
 - Compare compliance performance over multiple years.
 - Factories with improving trends may require less frequent audits, while repeat offenders need strict monitoring.

Step 3: Documentation & Reporting

In this step, the following activities are carried out:

- Preparation of a compliance summary report highlighting recurring risks, areas of improvement, and best practices.
- Sharing of findings with the audit team and factory management for focused audit planning.

Benefits of Analysing Previous Audit Records

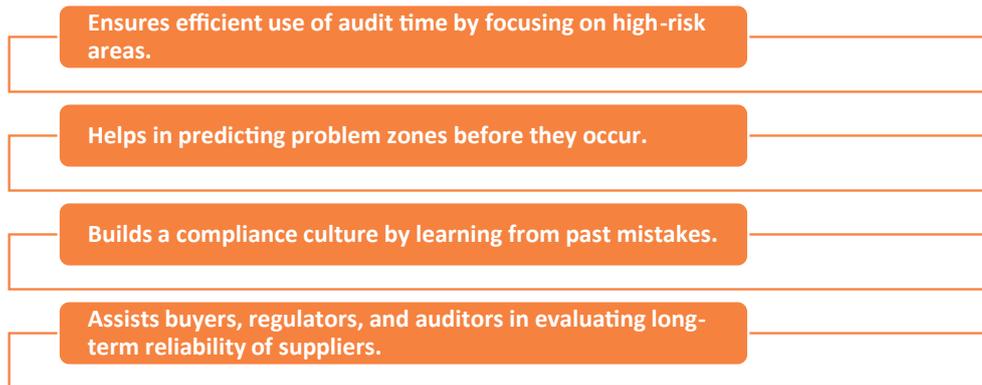


Fig. 4.1.10: Benefits of Analysing Previous Audit Records

Sample of a Previous Audit Record Analysis Sheet

Company Name: ABC Garments Pvt. Ltd.

Unit Location: Tirupur, Tamil Nadu

Audit Type: Social Compliance & Quality Audit

Audit Date: 10th April 2025

Auditor: XYZ Certifications Pvt. Ltd.

Audit Area	Findings from Previous Audit (Dec 2024)	Status in Current Audit (Apr 2025)	Corrective Action Taken	Remarks
Health & Safety	Emergency exit blocked with fabric rolls.	Resolved – exit kept clear.	Regular monitoring checklist introduced.	Improvement sustained.
Fire Safety	Expired fire extinguishers in stitching section.	Resolved – all extinguishers recharged.	Maintenance log updated monthly.	Fully compliant.
Wages & Benefits	Overtime records not properly maintained.	Partially resolved – records improved but some gaps remain.	HR staff trained on record-keeping.	Needs further improvement.
Child Labour	No findings.	No findings.	Awareness training continued.	Compliant.

Audit Area	Findings from Previous Audit (Dec 2024)	Status in Current Audit (Apr 2025)	Corrective Action Taken	Remarks
Chemical Handling	No MSDS displayed for spot cleaning solvents.	Resolved – MSDS displayed at all points.	Workers trained on safe usage.	Fully compliant.
Quality Inspection	Inconsistent inline quality check documentation.	Resolved – records now maintained.	Inline QC staff re-trained.	Consistent system in place.
Buyer Code of Conduct	Grievance mechanism not visible to workers.	Resolved – notice boards updated in local language.	Worker committee formed.	Compliant.

Table 4.1.6: Sample of a Previous Audit Record Analysis Sheet

4.1.7 Analysing Accuracy of Collected Audit Records

The primary objective at this stage is to illustrate how to analyse collected audit records to assess their accuracy and reliability in the apparel sector. Audit records must be checked for authenticity, completeness, consistency, and reliability through cross-verification, sampling, and on-ground validation. This ensures compliance accuracy in the apparel sector.

Audit records form the backbone of compliance verification in apparel factories. Inaccurate or incomplete records can mislead auditors, hide risks (e.g., labour law violations, safety hazards), and affect buyer confidence. Hence, records must be critically examined for authenticity, completeness, and consistency.

Steps to analyse Audit Record Accuracy has been provided in the image below:

Step 1: Cross-Verification with Source Documents

- Match payroll audit records with wage slips, attendance registers, and bank transfer proofs.
- Validate production quality records with actual defect percentages in final inspections.

Step 2: Consistency Check

- Ensure that records are consistent across departments.
- Check if CAPA (Corrective Action and Preventive Action) updates are reflected in subsequent audits.

Step 3: Authenticity of Data

- Verify that signatures, stamps, and approval dates are genuine.
- Digital records must have proper timestamps and system IDs.

Step 4: Completeness

- Look for missing entries, incomplete forms, or unsigned documents.
- Verify whether all mandatory compliance areas (fire safety, wages, child labour, overtime, environment) are covered.

Step 5: Reliability through Sampling

- Randomly select a sample (e.g., 10 worker wage slips) and cross-check with attendance and payment records.
- If discrepancies are found, expand sampling to identify patterns of non-compliance.

Step 6: Follow-Up Validation

- Compare records with actual on-ground conditions during factory walkthroughs.

Fig. 4.1.11: Steps to Analyse Audit Record Accuracy

Tools Used to Analyse Audit Record Accuracy

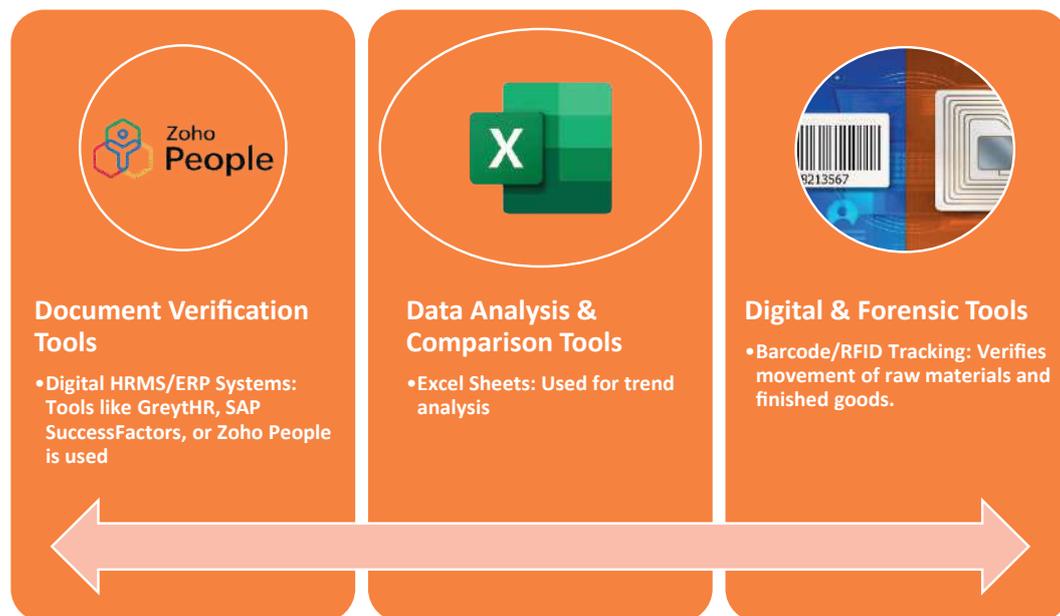


Fig. 4.1.12: Tools Used to Analyse Audit Record Accuracy

Outcome of Accurate Record Analysis

- Detect falsification or manipulation of data.
- Increase buyer confidence in compliance.
- Strengthen the factory's internal monitoring system.
- Support corrective and preventive action planning.

4.1.8 Evaluating Records for Areas of Concern

The objective at this stage is to evaluate previous audit records in order to identify areas of concern and potential improvements in the apparel sector within India. Evaluating previous audit records allows auditors to spot patterns of non-compliance, classify issues, conduct gap analysis, and propose corrective and preventive actions. This not only addresses immediate risks but also drives long-term improvements in the apparel sector.

Importance of Evaluating the Audit Records

Audit records are not just compliance documents; they highlight systemic issues and provide opportunities for improvement. Careful evaluation helps in:

- Detecting repeated non-compliances.
- Understanding root causes.
- Strengthening internal processes.
- Enhancing buyer trust and long-term sustainability.

Steps to Evaluate Audit Records

Step 1: Review of Non-Compliance Trends

- Compare multiple past audits to identify recurring issues.
- For example, when excessive overtime reported across three consecutive audits, this indicates weak workforce planning.

Step 2: Classification of Concerns

- Critical Concerns (Major Deviations): Child labour, forced labour, fire safety lapses, minimum wage violations.
- Moderate Concerns (Minor Deviations): Missing safety signage, improper PPE usage, occasional record mismatches.

Step 3: Gap Analysis

- Compare existing practices with industry standards, laws, and buyer codes of conduct.
- Identify gaps between written policies and actual implementation.

Step 4: Root Cause Evaluation

- Use methods like 5 Whys or Fishbone Diagram to trace underlying causes.
- For example, when there arise issues of inconsistent wage slips, the possible solution is to find the root cause using manual payroll system, and the best solution would be the use of digital payroll.

Step 5: Worker & Supervisor Feedback

- Cross-check audit findings with interviews to confirm whether issues persist on the shop floor.

Step 6: Prioritisation of Issues

- Rank concerns based on severity, risk to workers, and potential buyer impact.
- For example, in case of safety hazards, it needs to be addressed immediately, while in documentation errors, medium-term improvement needs to be followed, in terms of priority.

Areas of Concern that are Common in an Apparel Factory

Areas of Concern	Common Problems Faced
Labour Laws	Non-payment of overtime, below-minimum wages.
Health & Safety	Blocked fire exits, lack of proper ventilation, chemical handling lapses.
Working Hours	Excessive overtime beyond Factories Act limits.
Record-Keeping	Inconsistent attendance registers or falsified training records.
Environmental Concerns	Wastewater disposal, energy inefficiency.

Table 4.1.7: Areas of Concern Common in Apparel Factories

Potential improvements that are required for mitigating the common concerning issues arising in the Audit Reports have been listed below:

- Introduce digital compliance management systems to prevent record manipulation.
- Strengthen training programs for workers on health, safety, and rights.
- Implement internal audits between external audits to monitor improvements.
- Upgrade facilities (e.g., fire safety systems, ergonomics, waste treatment plants).
- Align policies with international standards (ILO conventions, SA 8000, ISO 14001).



Fig. 4.1.13: Outcome of Record Evaluation

Sample Audit Record Evaluation Matrix

Issue Found	Risk Level	Area of Concern	Corrective Action Required	Timeline
Excessive overtime (>60 hrs/week)	High	Worker fatigue, legal non-compliance	Recruit more workers; improve shift system	1 month
Fire exits blocked by storage	High	Safety hazard, emergency evacuation	Clear exits; conduct safety drills	2 weeks

Issue Found	Risk Level	Area of Concern	Corrective Action Required	Timeline
Missing PPE usage in dyeing unit	Medium	Occupational health and safety risk	Provide PPE and monitor usage	Ongoing
Inaccurate training records	Low	Documentation and compliance gap	Adopt digital record-keeping	2 months

Table 4.1.8: Sample Audit Record Evaluation Matrix

4.1.9 Determining Focus Areas Based on Audit History

Past audit records serve as a critical guide for compliance auditors. By analysing these records, auditors can identify recurring issues, high-risk areas, and systemic weaknesses that require greater attention. This ensures audits are efficient, targeted, and corrective in nature, instead of being merely routine. Focusing on high-risk, recurring, and systemic non-compliances based on prior audit records ensures that audits drive real improvements rather than repeating old checklists. This approach not only strengthens compliance but also helps apparel factories build sustainable, legally compliant, and worker-friendly environments.

Key Focus Areas Based on Prior Audit History

Areas	Recurring Issues	Audit Focus	Why Important?
Worker Welfare & Labour Compliance	Excessive overtime, delayed wages, lack of wage slips.	Verify compliance with Factories Act, 1948, Payment of Wages Act, 1936, and Minimum Wages Act, 1948.	Past violations in labour rights often lead to legal risks and reputational damage.
Health, Safety & Emergency Preparedness	Blocked fire exits, missing PPE, insufficient first-aid training.	Workplace safety standards, fire drills, machinery safety, PPE usage.	Safety lapses often recur and pose high-risk threats to workers' lives.
Environmental Compliance	Improper chemical storage, untreated effluent discharge, poor waste segregation.	Pollution Control Board regulations, effluent treatment plants, chemical handling procedures.	Non-compliance here can result in government penalties and export restrictions.
Documentation & Record-Keeping	Documentation & Record-Keeping	Accuracy and completeness of payroll, attendance, training, and safety records.	Proper documentation ensures traceability and legal compliance.
Subcontractor & Supply Chain Compliance	Non-compliant subcontracting, underage workers, unauthorized outsourcing.	Contracts, worker age verification, compliance monitoring of suppliers.	Weak subcontractor oversight often leads to major compliance risks in social audits.

Areas	Recurring Issues	Audit Focus	Why Important?
Quality Management & Product Standards	Quality Management & Product Standards	QC procedures, defect tracking, corrective action reports.	Quality directly impacts brand reputation and export approvals.

Table 4.1.9: Key Focus Areas Based on Prior Audit History

Steps for Determining Focus Areas for the Prior Audit History is provided below:

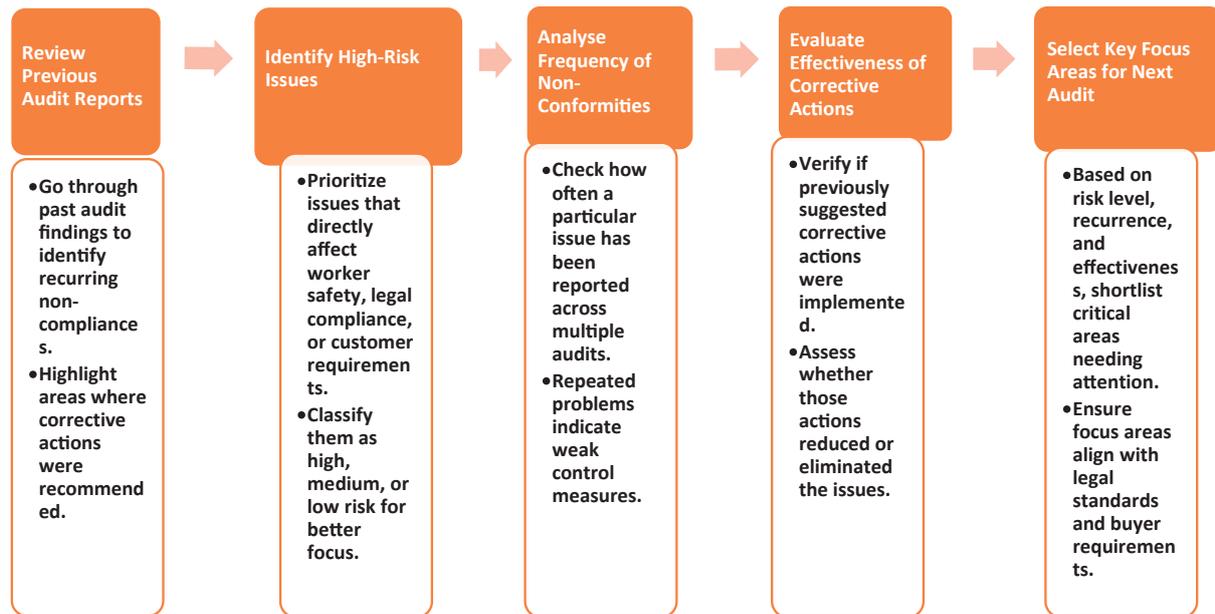


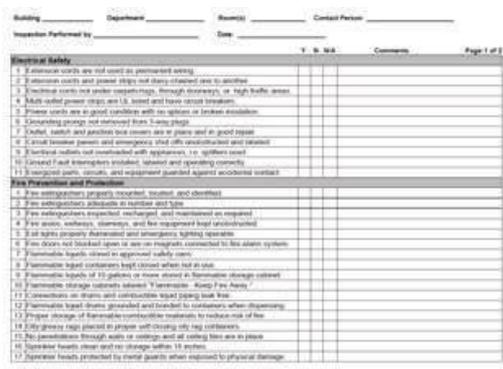
Fig. 4.1.14: Steps for Determining Focus Areas

4.1.10 Tools and Reference Materials for Audit

In order to conduct a compliance audit effectively in the apparel sector, auditors must gather and use specific tools, reference materials, and documents. These resources ensure accuracy, efficiency, and credibility in the audit process. An apparel compliance audit requires a combination of tools (checklists, devices, IT systems), reference materials (laws, standards, buyer codes), and documents (licenses, records, reports). Together, they provide the auditor with the foundation to conduct a systematic, evidence-based, and credible audit.

Audit tools

Audit Tools are methods, techniques, and instruments used by auditors to gather evidence, assess compliance, and evaluate systems or processes during an audit. They help ensure accuracy, transparency, and reliability of findings. Different types of audit tools are described below.

Tools	Details
<p style="text-align: center;">Audit Checklists</p> 	<p>Pre-designed checklists covering legal, social, environmental, and quality requirements.</p>
<p style="text-align: center;">Measuring Equipment</p> 	<p>Tools such as thermometers, lux meters, noise meters, or chemical testing kits (to check factory conditions like lighting, temperature, and noise).</p>
<p style="text-align: center;">Cameras/ Smart Devices</p> 	<p>To record evidence, take photographs, and document physical observations.</p>
<p style="text-align: center;">Laptops/ Tablets</p> 	<p>For accessing digital compliance records, real-time entry of audit findings, and report preparation.</p>

Tools	Details
<p style="text-align: center;">Stationery</p> 	<p>Notebooks, pens, highlighters, sticky notes for quick field documentation.</p>

Table 4.1.10: Audit tools used in Auditing

Reference Materials

Reference Materials in Auditing are the official documents, guidelines, and resources that auditors use to benchmark, cross-check, and validate compliance during the audit process. These materials provide the standards, rules, and best practices against which audit findings are compared. Examples include:

- National Labour Laws (Factories Act, 1948; Minimum Wages Act, 1948; Child Labour Act, 1986; Industrial Disputes Act, 1947).
- Environmental Laws (Environment Protection Act, 1986; Water Act, 1974; Air Act, 1981; Waste Management Rules).
- International Standards & Guidelines
 - ISO standards (e.g., ISO 9001 for Quality Management, ISO 14001 for Environment).
 - ILO Conventions on wages, working hours, and child labour.
 - SA8000 and WRAP standards for social accountability.
- Buyer/Customer-Specific Codes of Conduct: E.g., H&M’s audit guidelines.
- Industry-Specific Manuals: Apparel Export Promotion Council (AEPC) guidelines, BIS standards for textile quality.

Documents to Collect & Review

Factory Licenses & Registrations

- Fire safety certificate, pollution control license, building safety approvals.

Employee Records

- Attendance, wage slips, working hours, age verification, training records.

Health & Safety Records

- Accident reports, safety drills, PPE usage logs.

Production & Quality Records

- Inspection reports, rejection reports, CAPA (Corrective and Preventive Action) records.

Previous Audit Reports

- Findings, non-compliance reports, corrective action status.

Fig. 4.1.15: Documents to Collect & Review

Importance of these Tools & References

Audit tools and reference materials are very essential in the auditing process. These help to ensure compliance with legal and regulatory requirements, provide objective evidence for audit reporting. These tools also help to enhance accuracy in detecting non-compliances, standardise audits, ensuring consistency across factories and regions. Apart from this, these tools and materials also help to build trust with clients, regulators, and workers by showing transparency.

4.1.11 Communicating the Audit Plan to Stakeholders

Communication of the compliance audit plan to the relevant stakeholders is very important, particularly for clear understanding and alignment. Effective communication of an audit plan ensures that all parties understand the purpose, scope, timelines, responsibilities, and expected outcomes of the compliance audit. In the apparel sector, this is crucial to avoid disruptions, gain cooperation, and build trust across management, workers, and regulatory bodies. Clear, transparent, and well-structured communication of the audit plan ensures stakeholder cooperation, prevents miscommunication, and enhances the credibility of the compliance process in the apparel sector.

Key Steps in Communicating the Audit Plan

Step 1: Identify Relevant Stakeholders

- **Internal:** Factory management, supervisors, HR, compliance officers, production heads, and worker representatives.
- **External:** Buyers/brands, third-party auditors, government authorities (if applicable).

Step 2: Choose the Right Communication Method

- **Written Communication:** Formal emails, memos, or circulars to inform stakeholders.
- **Verbal Communication:** Meetings, briefing sessions, or pre-audit workshops.
- **Digital Tools:** Shared audit schedules, dashboards, or compliance management software.

Step 3: Components of an Effective Audit Plan Communication

- Purpose of the audit (compliance, certification, buyer requirement, legal mandate).
- Scope of the audit (departments, processes, labour welfare, safety, environment).
- Timeline & Schedule (dates, duration, expected activities).
- Roles & Responsibilities (who provides data, who accompanies auditors, who signs off).
- Confidentiality Clause (ensuring sensitive information is not misused).
- Expected Outcomes (reporting format, compliance certificate, improvement areas).

Step 4: Conduct Pre-Audit Meetings

- Orient staff about audit objectives and procedures.
- Clarify doubts to avoid resistance or misinformation.
- Stress importance of honesty and transparency during the audit.

Step 5: Provide Documentation

- Share audit checklists, compliance guidelines, and required records in advance.
- Ensure stakeholders know where documents and evidence will be kept.

Step 6: Feedback & Alignment

- Allow stakeholders to ask questions and provide input.
- Make necessary clarifications to ensure shared understanding.

Best Practices in the Apparel Sector

- The best practices that can be adopted while communicating the Audit Plan are outlined below.
- The use of bilingual communication (English + local language) for clarity among workers.
- Alignment of communication with buyer codes of conduct (e.g., WRAP, SA8000, SEDEX).
- Maintaining transparency to build trust with external auditors and brands.
- Ensuring that communication emphasizes continuous improvement rather than fault-finding.

Summary

- Preparation for compliance audits ensures readiness, accuracy, and alignment with industry standards.
- Reviewing organizational policies helps auditors understand company-specific compliance requirements.
- Audit scope and objectives are defined to set clear boundaries and focus areas for assessment.
- Reporting procedures and formats standardize how quality-related information is documented and shared.
- Audit checklists are prepared to provide a structured tool for compliance evaluation.
- Previous audit records are collected and analysed to identify compliance history and recurring gaps.
- Accuracy of audit records is assessed to ensure reliability of findings and future planning.
- Records are evaluated to highlight areas of concern and suggest potential improvements.
- Audit focus areas are determined based on historical data, risks, and critical compliance points.
- Tools, reference materials, and audit plans are communicated to stakeholders for smooth execution.

Exercise

Multiple-choice Question:

1. What is the primary purpose of preparing for a compliance audit in the apparel sector?
 - a. To increase sales
 - b. To ensure adherence to standards and regulations
 - c. To reduce workforce size
 - d. To market new products
2. Which document is essential for systematically evaluating compliance points during an audit?
 - a. Purchase Order
 - b. Audit Checklist
 - c. Sales Invoice
 - d. Delivery Note
3. Why is it important to review previous audit records before conducting a new audit?
 - a. To compare with competitors
 - b. To evaluate compliance history and recurring issues
 - c. To create a new business strategy
 - d. To negotiate supplier contracts
4. Which step comes first in the compliance audit preparation process?
 - a. Drafting audit findings
 - b. Communicating results to stakeholders
 - c. Reviewing policies and standards
 - d. Preparing corrective actions
5. What does the escalation matrix define in audit planning?
 - a. The sequence of reporting unresolved issues
 - b. The method of calculating costs
 - c. The list of customer requirements
 - d. The order of material movement

Descriptive Questions:

1. Explain the importance of reviewing organizational policies and procedures before preparing for a compliance audit.
2. Describe the role of an audit checklist in ensuring effective compliance assessment in the apparel sector.
3. How can analysing previous audit records help in identifying areas of concern and potential improvements?
4. Discuss the importance of communicating the audit plan and required tools to stakeholders before execution
5. Explain how evaluating the accuracy of collected audit records enhances the reliability of audit findings.

5. Conduct Compliance Audit in the Organization



Unit 5.1 - Evidence Collection and Audit Processes

Unit 5.2 - Conformance, Standards, and Deviation Analysis



Key Learning Outcomes

By the end of this module, the participants will be able to:

1. Collect evidence for observations and audit findings to verify the information received.
2. Describe escalation matrix of who to refer problems to when they are out of control.
3. Maintain integrity in the audit process.
4. Record all observations and findings.
5. Describe interdepartmental material movement procedure.
6. Communicate appropriate feedback to the relevant people associated with the factory operations and management on issues related to various compliance standards.
7. Collect information about conformance to standards at the factory by observing and using the audit-checklist.
8. Evaluate the conformance to standards based on observations and audit-checklist.
9. Communicate the audit findings to the relevant people.
10. Identify the areas of concern or non-conformities.
11. Explain industry standards and inspection methodologies.
12. Ensure all compliance points are checked and evaluated.
13. Analyse critical and non-critical deviations or non-compliances.

UNIT 5.1: Evidence Collection and Audit Processes

Unit Objectives

By the end of this unit, the participants will be able to:

1. Explain how to collect evidence for observations and audit findings to verify the information received.
2. Describe the escalation matrix for referring problems when they are out of control.
3. Discuss methods to maintain integrity throughout the audit process.
4. Outline the procedure for recording all observations and findings during the audit.
5. Describe the interdepartmental material movement procedure within factory operations.
6. Elaborate on the importance of communication and how to provide appropriate feedback to relevant stakeholders regarding compliance standards.

5.1.1 Methods of Collecting Evidence in Compliance Audits

In the apparel sector, compliance audits require systematic evidence collection to ensure that observations and findings are accurate, verifiable, and objective. Evidence collection is critical because it helps auditors verify whether the factory operations conform to legal, social, and quality standards. Evidence collection in apparel sector audits involves a combination of document review, worker interviews, physical observation, and sampling techniques, all aimed at ensuring that the audit findings are accurate, verifiable, and aligned with legal and buyer standards.

Types of Evidence in Compliance Audits

- **Documentary Evidence**
 - Employment Contracts
 - Wage Records
 - Attendance Registers
 - Health & Safety Policies
 - Purchase Invoices
 - Training Records.
- **Physical Evidence**
 - Factory infrastructure (Fire Exits, Ventilation, PPE Availability, Machine Safety Guards)
 - Cleanliness
 - Storage conditions
- **Testimonial Evidence**
 - Interviews with workers
 - Supervisors
 - Management staff to confirm practices against documented policies.
- **Analytical/ Corroborative Evidence**
 - Cross-verifying wage records with employee interviews
 - Comparing production records with overtime hours worked.

In compliance audits, evidence is collected in different forms to verify whether a factory is following legal and buyer requirements.

- **Documentary Evidence** includes written records like contracts, wage slips, attendance, safety policies, invoices, and training documents, which provide official proof of compliance.
- **Physical Evidence** refers to on-site observations of the factory setup, such as fire exits, ventilation, safety equipment, cleanliness, and storage conditions.
- **Testimonial Evidence** is gathered through interviews with workers, supervisors, and management to confirm that actual practices match documented policies.
- **Analytical/Corroborative Evidence** involves cross-checking different data sources, like comparing wage records with employee interviews or matching production logs with overtime hours, to validate consistency.

Methods of Collecting Evidence

- **Observation:** On-site inspection of working conditions, processes, and compliance with safety measures.
- **Document Review:** Examining policies, registers, payroll, contracts, training manuals, and compliance certificates.
- **Interviews & Discussions:** Conducting confidential one-on-one interviews with workers and group discussions with management.
- **Sampling Technique:** Selecting random worker records, payslips, or departments to validate consistency and avoid bias.
- **Photography & Video Evidence (with permission):** Visual proof of safety equipment, storage conditions, and factory layout.
- **Checklists & Questionnaires:** Using structured audit checklists to systematically verify compliance against standards.

Best Practices in Evidence Collection

- Ensure confidentiality of workers when recording sensitive information.
- Maintain accuracy and objectivity to record facts, not assumptions.
- Use triangulation to validate one type of evidence with another (e.g., interview + payroll record + observation).
- Document all findings with date, time, and source for traceability.

Importance of the Evidence Collection are as follows:

- Ensures compliance with labour laws (Factories Act, Minimum Wages Act, Child Labour Prohibition Act).
- Validates adherence to international buyer requirements (BSCI, SA8000, WRAP, SEDEX).
- Helps factories prepare for social compliance certifications demanded by global brands.
- Prevents false reporting and strengthens transparency in supply chains.

5.1.2 Escalation Matrix: Handling Issues Beyond Control

In the apparel sector, not all issues identified during an audit can be resolved at the factory floor level. Some may require higher-level intervention to ensure compliance with laws, buyer codes of conduct, or organizational standards. An escalation matrix is a structured system that defines who should be informed, at what stage, and in what sequence when a compliance issue is beyond the auditor’s control. An escalation matrix ensures that critical issues are not ignored, and accountability flows upward until resolution. This structured chain strengthens compliance culture in apparel factories.

Importance of an Escalation Matrix

An Escalation Matrix is a structured framework that defines the step-by-step process of reporting and resolving issues that cannot be addressed at the immediate level of responsibility. It outlines who should be contacted, in what order, and within what time frame, ensuring that problems are escalated to higher authorities efficiently until they are resolved. An escalation matrix is vital for maintaining efficiency, transparency, and compliance within factory operations in the apparel industry.

- **Clarity of Responsibility:** Ensures everyone knows the right authority to approach when issues exceed their control.
- **Timely Resolution:** Prevents delays by assigning specific timelines and responsible persons for each escalation level.
- **Minimizes Risk:** Helps address compliance, safety, or production issues before they become critical.
- **Enhances Accountability:** Ensures that issues are not ignored and are tracked until closure.
- **Improves Communication:** Streamlines the flow of information between departments and management.
- **Supports Compliance Audits:** Demonstrates a transparent and systematic approach to handling un-resolved issues, which buyers and auditors’ value.

Typical Escalation Levels

Escalation levels helps in ensuring that issues are addressed at the right authority level. This is necessary to prevent delays, assign accountability, and resolve critical problems efficiently. The escalation levels that are followed in the apparel industry are discussed below.

Level	Responsible Authority	Examples of Issues to Escalate
Level 1: Immediate Supervisor	Line Manager / Production Supervisor	Minor safety lapses (PPE not worn), attendance sheet errors
Level 2: Department Head	HR / Compliance / QA Manager	Wage discrepancies, excessive overtime, missing legal records
Level 3: Factory Compliance Officer	Factory Compliance Head	Repeated worker grievances, non-functional fire exits, underage worker suspicion
Level 4: Senior Management	General Manager / Factory Director	Systemic wage violations, falsified records, union-related conflicts
Level 5: External Authorities / Buyers	Brand Auditors, Government Labour Inspector, Fire Dept.	Child labour, forced labour, major safety violations, harassment cases

Table 3.1.1: Escalation Levels in Apparel Sector

Steps in Escalation Process

The escalation process begins with identifying and reporting an unresolved issue, followed by notifying the immediate supervisor, and then escalating step-by-step to higher management or specialized teams until the problem is resolved within defined timelines. The primary steps in the escalation process are described below.



Fig. 3.1.1: Steps in Escalation Process

Example in Apparel Factory

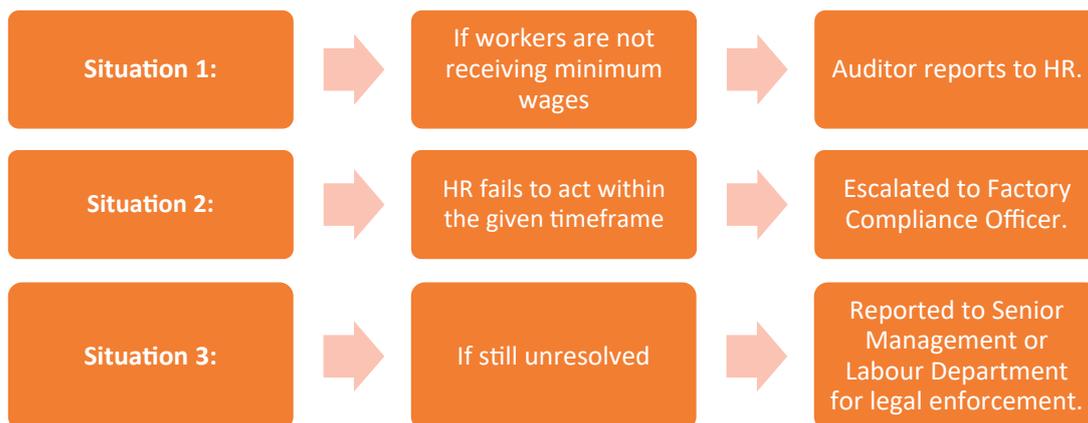


Fig. 3.1.2: Example of Escalation Process in Apparel Factory

Escalation Matrix in Apparel Sector

- **Level 1:** Immediate Supervisor (Line Manager/ Production Supervisor)
- **Level 2:** Departmental Head (HR/ QA/ Compliance Manager)
- **Level 3:** Factory Compliance Officer (Compliance Head)
- **Level 4:** Senior Management (Factory Director/ GM)
- **Level 5:** External Authorities (Govt., Brand Auditors, Fire Dept.)

5.1.3 Maintaining Integrity in the Audit Process

Integrity is the foundation of a credible and effective compliance audit. In the apparel sector, where audits impact labour rights, safety, quality, and global trade relations, auditors must ensure impartiality, transparency, and adherence to ethical standards throughout the process. Maintaining integrity requires auditors to be independent, ethical, transparent, and evidence-driven, while safeguarding both workers' rights and factory interests.

Key Methods to Maintain Integrity in the Audit Process

- **Independence and Impartiality**
 - Auditors must remain unbiased and free from external influence.
 - Avoid conflicts of interest, such as having business or personal relationships with the audited factory.
- **Confidentiality of Information**
 - All employee interviews, records, and factory data must be kept secure.
 - Sensitive information (e.g., wages, working hours, safety violations) should not be disclosed to unauthorized persons.
- **Adherence to Ethical Standards**
 - Follow professional codes of conduct (e.g., ICAI or international audit ethics).
 - Avoid accepting gifts, favours, or incentives from factory management.
- **Transparency in Processes**
 - Clearly communicate audit objectives, scope, and methodology to factory representatives.
 - Share findings factually, without distortion or personal bias.
- **Evidence-Based Reporting**
 - Record only what is verifiable through documents, physical inspections, or worker interviews.
 - Avoid assumptions or subjective conclusions.
- **Respect for Workers' Rights**
 - Ensure that employee interviews are conducted privately, without management interference.
 - Protect workers from retaliation if they disclose non-compliances.
- **Accountability in Documentation**
 - Maintain accurate, dated, and signed audit records.
 - Ensure no falsification, misrepresentation, or alteration of evidence.

Importance of Maintaining Integrity in the Apparel Sector

- Builds trust with international buyers and certifying bodies.
- Ensures legal compliance with Indian labour laws and global standards (BIS, ISO, SA8000, etc.).
- Protects workers' welfare and promotes fair labour practices.
- Enhances India's reputation as a reliable sourcing destination.

5.1.4 Recording Observations and Findings

Accurate recording of observations and findings is a critical component of the audit process in the apparel sector. It ensures that all compliance issues, non-conformities, and best practices are well-documented, traceable, and actionable for future improvements. Recording observations and findings during a compliance audit in the apparel sector involves structured documentation, classification of issues, evidence-based reporting, and maintaining objectivity. This ensures transparency, helps in corrective actions, and strengthens overall compliance.

Procedure for Recording Observations and Findings

Step 1: Preparation Before Recording

- Use standardized audit checklists, templates, and forms provided by the organization.
- Ensure proper understanding of audit scope and criteria before entering data.

Step 2: During the Audit

- Record observations factually without bias or assumptions.
- Note both compliances and non-compliances (positive and negative findings).
- Use photographic evidence, copies of documents, or sample records where applicable.
- Mention date, time, department, and personnel involved for traceability.

Step 3: Categorizing Findings

- Classify findings as:
 - Critical Deviations (serious legal or safety risks).
 - Major Deviations (impact quality, compliance, or operations significantly).
 - Minor Deviations (small, correctable issues).
- Highlight best practices or strong compliance areas for recognition.

Step 4: Maintaining Objectivity

- Record only facts and evidence (not opinions).
- Avoid vague terms like "sometimes" or "maybe", and be specific. Example: Instead of "workers sometimes skip PPE," record "3 out of 15 workers in finishing section not wearing gloves during inspection at 10:30 AM."

Step 5: Post-Audit Documentation

- Compile all observations into a consolidated audit report.
- Use standardized formats such as:
 - Observation sheets
 - Non-compliance reports (NCRs)
 - Corrective Action Request (CAR) forms
- Ensure sign-off by auditor and concerned department head.

Step 6: Confidentiality and Integrity

- Store records securely (digital or physical) to avoid manipulation.
- Share findings only with authorized personnel.

Sample Audit Observation Sheet

Audit Area	Observation/Finding	Evidence Collected	Category (Critical/Major/Minor)	Responsible Department	Auditor's Comment	Corrective Action (if needed)	Target Date	Sign-off
Health & Safety	3 out of 15 workers in finishing not wearing gloves during inspection at 10:30 AM	Photo evidence, witness statement	Major	Production	Workers provided gloves but not using; monitoring required	Train workers, enforce PPE policy	15 days	Auditor / Dept. Head
Fire Safety	Emergency exit in warehouse blocked by cartons	On-site inspection	Critical	Warehouse	Immediate risk to worker safety	Remove obstruction, monitor weekly	Immediate	Auditor / Safety Officer
Documentation	Worker attendance records incomplete for March 2025	Records checked	Minor	HR	Clerical lapse, no impact on compliance	Update records, monitor monthly	7 days	Auditor / HR Manager
Best Practice	Waste segregation bins labelled clearly in stitching unit	Photos, observation	N/A (Positive)	Production	Encourages sustainability	Maintain practice	Ongoing	Auditor

Table 3.1.2: Sample Audit Observation Sheet

5.1.5 Interdepartmental Material Movement Procedures

In the apparel sector, materials such as fabric, trims, accessories, semi-finished garments, and packaging items move continuously between departments like stores, cutting, stitching, finishing, quality, and dispatch. A well-defined interdepartmental material movement procedure ensures traceability, efficiency, and compliance with quality and safety standards.

Documents Used in Material Movement

- **Material Requisition Form (MRF)**

Request raised by a department to obtain raw materials or re-quired items.

Material Request Form Reports

FOR ID: AI BOM ID: BOM Quantity: 10,000 Search

Select Finished Goods ID Select Bill of Material ID Enter Quantity Enter search Button

#	Raw Materials	Description	BOM	Available Quantity	Quantity Based On BOM	Wastage In %	Wastage Qty	Total Qty	Quantity to Issue
1	AI	Admsh	EA	299,274	100,000	0	0,000	100,000	

Showing 1 to 1 of 1 entries

If Export in Excel

Export To Back

- **Material Issue Slip (MIS)**

Records the release of materials from the store against the req-uisition.

RAW MATERIAL ISSUE REPORT

Your company name

Total Issue inventory value

From 01 Sept. 2023 to 31 Aug 2024

Row No	Item	Date of Iss	Item Code	Quantity	Stock	Description	Cost per Item	Stock	Invoice	Invoice	Days per Invoice	Item	Item
1	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
2	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
3	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
4	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
5	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
6	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
7	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
8	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
9	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI
10	AI	01/09/2023	AI	10000	299274	Admsh	299274	100000				AI	AI

- **Bundle Tags / Barcode Stickers**

Attached to fabric bundles or garment pieces to track move-ment and identifica-tion.



- **Movement Register**

Logbook to record transfer of semi-finished goods between departments.



- **Quality Clearance Note**

Certifies that materials or goods have passed inspection before moving ahead.

Sample Quality Check List for Apparel Industry			
No.	Check Points	Status (Y/N)	Remarks
Order Details/QA Style File			
1	PO Sheet		
2	Production #/M/Title #/OM		
3	Approved Sampling		
4	Approved Trim Cards		
5	Body Fabric		
6	Trim/Contrast Fabric		
7	Packaging Fabric		
8	Twist/Taper/Draw-string		
Approved Label			
9	Main Label/Wear Seal Label		
10	Size Label		
11	Care Label		
12	Change pocket Label		
Approved Trim			
13	Knuckle Interlining		
14	All Sewing Thread		
15	Button		
16	Zipper		
17	Necktag		
Embroiderment			
18	Embroidery		
19	Print		
20	Rhinestones		
Approved Ticking/Finishing Trim			
21	OTW		
22	Size Straps		
23	Bildboard		
24	Hang Tag		
25	Marketing Tag		
26	Hangar/Seam		
Wash Verification Report			
27	Approved Wash Standard/V Code		
28	Shade Panel/ 1 kg Print		
29	SHAPE (B = base color) Light or dark		
30	A = (abrasion) Low or heavy		
31	I = (Iron) Heat or low		
32	C = (coverage all dry process)		
33	H = (Hard Dry) Heat or soft		
Lab Test Report			
34	Button Pull Test Report		
35	Button Tongue Test Report		
36	Quarantail Test Report		
37	In house Lab Test Report		
Finishing, Packing and Folding			
38	Ironing/Pressing		
39	Coloring & Packing		
40	Polybag		
41	Folding Method		
42	Review Authority		
43	Top Defects		

Key Principles of Communication & Feedback

- **Clarity**
 - Use simple, direct, and unambiguous language while sharing audit findings.
- **Transparency**
 - Provide full disclosure of non-conformities, risks, and strengths identified.
- **Timeliness**
 - Share observations promptly to avoid escalation of non-compliance issues.
- **Constructive Feedback**
 - Highlight not only deviations but also good practices to encourage improvement.
- **Two-Way Communication**
 - Allow stakeholders to respond, clarify, and suggest improvements.

Steps to Provide Appropriate Feedback

1. **Step 1. Pre-Audit Briefing:** Inform management and department heads about the audit scope and objectives.
2. **Step 2. During Audit Interaction:** Engage with workers, supervisors, and managers to verify compliance practices.
3. **Step 3. Post-Audit Debriefing:** Summarize key findings with evidence, highlighting compliance achievements and deviations.
4. **Step 4. Written Audit Report:** Submit a structured report including corrective actions required and deadlines.
5. **Step 5. Corrective Action Plan (CAP):** Work with stakeholders to create an action plan for addressing non-compliance.
6. **Step 6. Follow-Up Communication:** Regular updates to track implementation of corrective measures.

Communication Channels Used in Apparel Compliance Audits

- Formal Meetings & Debriefings: With management and compliance officers.
- Email / Written Reports: For official documentation and evidence sharing.
- Notice Boards & Posters: To inform workers about compliance policies.
- Training Sessions: For explaining corrective actions and compliance standards.
- Digital Dashboards / MIS Tools: For real-time compliance updates.

UNIT 5.2: Conformance, Standards, and Deviation Analysis

Unit Objectives

By the end of this unit, the participants will be able to:

1. Discuss how to collect information about conformance to standards at the factory by observing and using the audit checklist.
2. Illustrate how to evaluate conformance to standards based on collected observations and audit checklist.
3. Describe how to communicate the audit findings to relevant people involved.
4. Explain how to identify areas of concern or non-conformities within the audit process.
5. Discuss industry standards and inspection methodologies relevant to the audit process.
6. Explain how to ensure that all compliance points are checked and evaluated effectively.
7. Analyse critical and non-critical deviations or non-compliances identified during the audit process.

5.2.1 Collecting Information on Conformance

Purpose of Collecting Conformance Information

In the apparel sector, conformance means ensuring that factory processes, materials, and working conditions meet legal requirements, buyer codes of conduct, and industry standards. Collecting this information systematically helps verify compliance and identify improvement areas. Collecting information on conformance in the apparel sector involves a mix of observation, document verification, interviews, and evidence recording, all guided by a structured audit checklist that covers legal, safety, social, and environmental requirements.

Role of the Audit Checklist

The audit checklist is a structured tool that guides auditors in evaluating all compliance areas. It ensures:

- The checklist ensures that all critical areas such as health & safety, wages, working hours, chemical management, and quality control—are covered systematically.
- Checklists break down requirements into measurable questions (Yes/No, Compliant/Non-Compliant, Partial).
- Each point on the checklist is mapped to statutory laws (Factories Act, Minimum Wages Act, etc.), buyer codes of conduct (BSCI, WRAP, SEDEX), or internal SOPs.
- By checking documents (wage slips, fire drill records, quality inspection logs) against checklist items, auditors can trace whether information is accurate and consistent.
- When multiple auditors or teams are involved, a checklist ensures uniformity in the way information is collected and reported.
- The checklist helps in pinpointing specific areas where the factory does not meet compliance.

Methods of Collecting Information

Direct Observation

- Inspect factory floors, production lines, storage areas, and worker facilities.
- Note deviations such as blocked fire exits, missing PPE, or excessive overtime.

Document Review

- Verify records like wage registers, working hour logs, purchase invoices, and safety drill records.
- Cross-check reported data with actual practices.

Interviews and Discussions

- Speak with workers, supervisors, and management to gather perspectives.
- Confirm whether policies are being implemented in practice (e.g., grievance handling).

Photographic/Video Evidence

- Collect visual documentation of unsafe practices, facility conditions, or record boards.

Fig. 5.2.1: Methods of Collecting Information

Key Checklist Areas in Apparel Sector

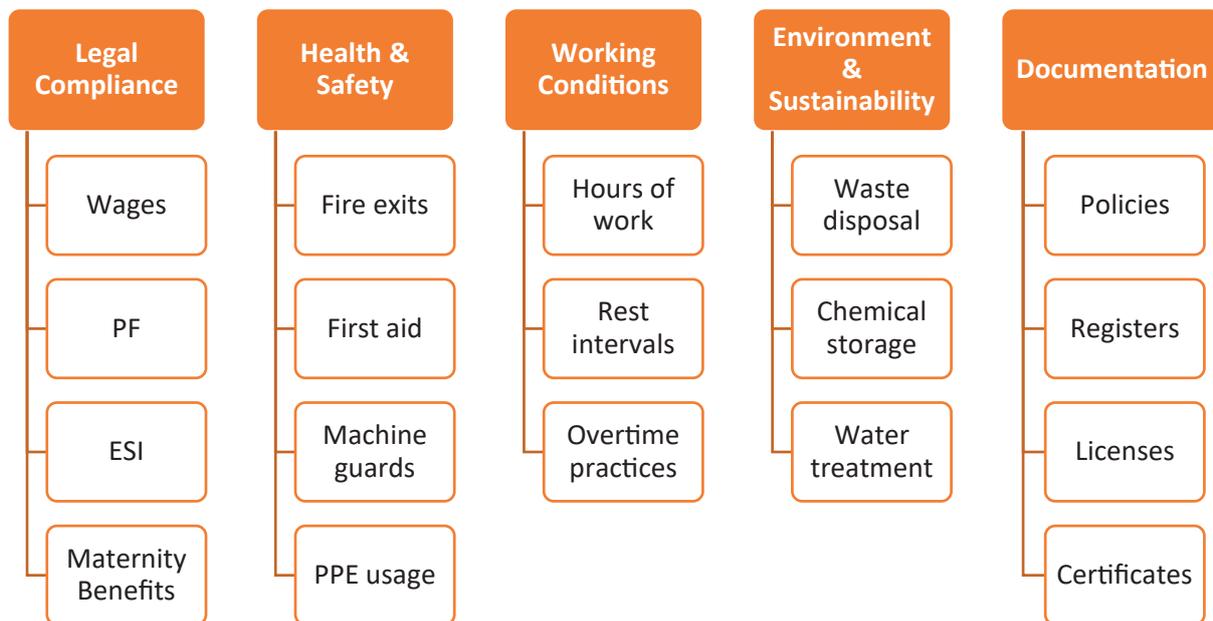


Fig. 5.2.2: Key Checklist Areas in Apparel Sector

Steps to Use the Checklist Effectively

- **Step 1 - Pre-Audit Preparation:** Customize the checklist as per buyer or Indian law requirements.
- **Step 2 - Systematic Data Collection:** Follow each section of the checklist in order during the audit.
- **Step 3 - Evidence Linking:** For every observation, collect at least one supporting document or photograph.

- **Step 4 - Cross-Verification:** Compare findings from observation, interviews, and documents to ensure reliability.
- **Step 5 - Scoring/Rating:** Mark compliance as Compliant, Partial, or Non-Compliant.
- **Step 6 - Summary Notes:** Record major deviations separately for highlighting in the final report.

5.2.2 Evaluating Conformance to Standards

Purpose of Evaluation

Evaluating conformance means comparing the actual practices observed in the factory with the required standards (legal, buyer-specific, or industry-wide). This step verifies whether the organization is fully compliant, partially compliant, or non-compliant in each area. Evaluation of conformance is done by comparing collected evidence with required standards, categorizing compliance levels, and analysing severity. This ensures that both critical and minor issues are identified for corrective action.

Basis for Evaluation

The evaluation is carried out using:

- Collected Observations (from floor inspections and interviews).
- Audit Checklist Entries (systematic record of findings).
- Supporting Documents (payroll, safety records, certificates, policies).
- Applicable Standards such as:
 - Indian labour laws (Factories Act, Minimum Wages Act, etc.).
 - International buyer codes of conduct (e.g., WRAP, SA8000, SEDEX).
 - Health, safety, and environmental standards.

Steps in Evaluating Conformance to Standards

- 1. Data Compilation:**
 - Gather all audit findings (observations, documents, interview responses).
- 2. Comparison Against Standards:**
 - Match findings against compliance benchmarks (legal minimums, buyer requirements).
 - Example: Minimum wage paid vs. statutory minimum wage notification.
- 3. Categorization of Results:**
 - Compliant: Fully meets requirement.
 - Partial Compliance: Some aspects met but gaps exist.
 - Non-Compliant: Requirement not fulfilled.
- 4. Severity Analysis:**
 - Critical Non-Conformance: Life-threatening or legal violation (e.g., locked fire exits).
 - Major Non-Conformance: Significant breach, but not immediately life-threatening (e.g., incomplete wage records).
 - Minor Non-Conformance: Small deviation, easily correctable (e.g., missing signage).
- 5. Scoring/Rating (Optional):**
 - Assign numerical scores or traffic-light ratings (Green = Compliant, Amber = Partial, Red = Non-Compliant).

Tools for Evaluation

- Checklists with scoring columns.
- Compliance matrices linking findings with legal standards.
- Risk-based prioritization tools to highlight urgent issues.

Example of Evaluation in Apparel Sector

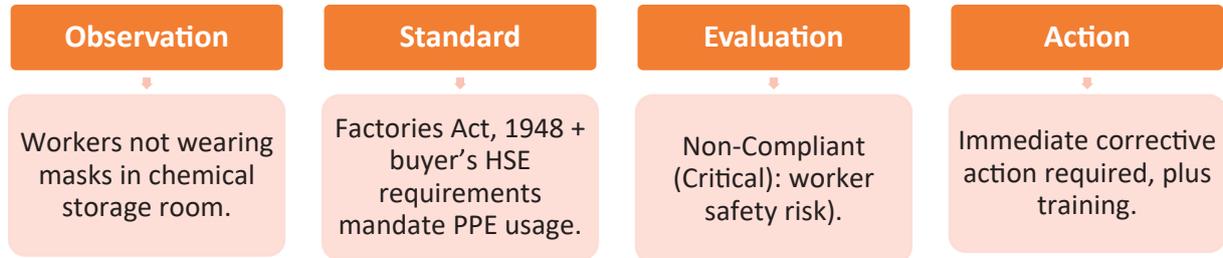


Fig. 5.2.3: Example of Evaluation in Apparel Sector

Benefits of Systematic Evaluation

- Provides a clear compliance picture for management and buyers.
- Helps prioritize corrective actions based on risk.
- Builds a transparent record to show due diligence in future audits.

Evaluation Matrix Template for Compliance Audit

Audit Finding / Observation	Standard Reference (Law / Buyer Requirement)	Compliance Status	Severity Level	Corrective Action Required
Workers found without safety gloves in cutting section	Factories Act, 1948 (Health & Safety Provision)	Non-Compliant	Critical	Provide PPE immediately; train workers on safety.
Wages below statutory minimum for helpers	Minimum Wages Act, 1948	Non-Compliant	Major	Adjust wages to comply; pay arrears.
Fire exit doors not blocked, but no emergency signage	Buyer Code of Conduct (HSE Requirement)	Partial Compliance	Minor	Install clear emergency exit signs.
Records of overtime payment properly maintained	Payment of Wages Act, 1936	Compliant	—	Maintain regular monitoring.

Table 5.2.1: Evaluation Matrix Template for Compliance Audit

5.2.3 Communicating Audit Findings

Effective communication of audit findings ensures transparency, corrective action, and stakeholder alignment. In the apparel sector, where multiple departments and stakeholders are involved such as management, compliance team, HR, production, worker representatives, and buyers, the findings must be reported in a structured and professional manner. Audit findings in the apparel sector should be communicated clearly, objectively, and constructively, through reports, debriefing, and closing meetings. This ensures management commitment, worker safety, and compliance with Indian laws and buyer standards.

Steps for Communicating Audit Findings

Step 1: Preparation of Audit Report

- Compile all observations systematically under categories: Compliant, Non-Compliant, and Areas for Improvement.
- Highlight severity: Critical, Major, Minor deviations.
- Include evidence (photos, documents, interviews, records) to support each finding.

Step 2: Internal Debriefing

- Present findings to factory management and compliance officers before final reporting.
- Clarify doubts and ensure no misinterpretation of evidence.
- Give management a chance to provide justifications or explanations.

Step 3: Formal Reporting

- Use standardized formats (e.g., CAPA – Corrective Action and Preventive Action report).
- Ensure findings are written in clear, objective, and non-judgmental language.
- Provide recommendations along with findings for improvement.

Step 4: Closing Meeting (Exit Meeting)

- Conduct a session with management and key stakeholders at the end of the audit.
- Communicate summary of findings, severity levels, and required timelines for corrective actions.
- Ensure all parties acknowledge the findings.

Step 5: Escalation (if required)

- Escalate serious violations (child labour, forced labour, health & safety risks) to higher authorities, buyer representatives, or regulatory agencies.
- Follow the escalation matrix defined by the organization.

Best Practices for Communicating Findings

- Be factual, not opinionated.
- Use visuals like charts, graphs, and tables for clarity.
- Ensure findings are communicated in local language if workers' representatives are involved.
- Maintain confidentiality of sensitive information.
- Always focus on solutions and improvements, not just pointing out faults.

Sample Audit Findings Communication Report

1. General Information

Audit Type: Internal Compliance Audit

Factory Name: _____

Audit Date: _____

Auditor(s) Name: _____ (Lead Auditor), _____

(Assistant Auditor) _____

Departments Covered: Production, HR, Health & Safety, Environmental Compliance

2. Summary of Findings

Category	Number of Findings
Critical Non-Conformities	2
Major Non-Conformities	3
Minor Non-Conformities	4
Observations / Suggestions	2

3. Detailed Findings Table

Obs. No.	Audit Area	Observation / Non-Conformance	Evidence Collected	Risk Level	Relevant Standard / Law	Corrective Action Required	Responsible Dept.	Timeline for Closure
1	Health & Safety	Fire extinguishers not serviced within due date	Maintenance log dated 12/2023	Major	Factories Act, 1948 / IS 2190	Immediate servicing of all extinguishers	Maintenance	7 days
2	Labour Practices	Workers not receiving wage slips	Payroll records + worker interviews	Critical	Payment of Wages Act, 1936	Ensure monthly wage slips are issued	HR	Immediate
3	Environment	Wastewater treatment plant (ETP) records incomplete	ETP logbook	Minor	Water (Prevention & Control of Pollution) Act, 1974	Maintain daily treatment logs	EHS	14 days
4	Working Hours	Overtime beyond legal limit observed	Attendance records	Critical	Factories Act, 1948	Restrict OT to max 50 hrs/quarter	HR & Production	15 days
5	Documentation	Fire safety training records missing	Training logbook	Minor	Factories Act, 1948	Conduct and document training	HR	30 days

Table 5.2.2: Detailed Findings Table

4. Closing Meeting Summary

- Date & Time: _____
- Participants: Auditor team, Factory Manager (), HR Head (), Compliance Officer ()
- Key Points Discussed:
 - Wage slip non-issuance identified as critical issue requiring immediate correction.
 - Fire extinguishers must be serviced urgently.
 - Management agreed to restrict overtime as per legal limits.
 - Acknowledgement by Management: Signed by Factory Manager

5. Auditor's Remarks

- The audit revealed serious lapses in wage documentation and overtime management.
- Cooperation from management was satisfactory.
- Follow-up audit recommended in 30 days to verify corrective actions.

5.2.4 Identifying Non-Conformities

Non-conformities are deviations from legal requirements, buyer codes of conduct, international standards (ISO, SA8000, WRAP, etc.), or internal company policies. Identifying these areas of concern is a crucial step in compliance auditing to ensure factories operate ethically, safely, and sustainably. Non-conformities in the apparel sector are identified by reviewing documents, observing workplace practices, interviewing workers, and cross-verifying data against legal and buyer standards. Detecting them early ensures corrective action, better compliance, and sustained factory credibility.

Definition of Non-Conformities

In the apparel industry, non-conformities are defined as deviations from established standards, specifications, or buyer requirements in materials, processes, or finished garments that affect quality, safety, compliance, or customer satisfaction.

They can occur in areas such as fabric quality, stitching, labelling, workplace safety, or legal compliance, and may be classified as critical, major, or minor depending on their severity and impact.

Types of Non-Conformities are listed below:

- **Critical Non-Conformity:** Major violations posing risk to worker safety, legal compliance, or environmental damage.
- **Major Non-Conformity:** Significant deviation affecting compliance, but not immediately life-threatening.
- **Minor Non-Conformity:** Small process lapses or documentation gaps that can be corrected easily.

Methods to Identify Non-Conformities

Methods	Activities	Example
Document Review	Checking payroll records, attendance logs, safety training records, chemical registers, etc.	Missing wage slips or incomplete ETP logbooks.

Methods	Activities	Example
Workplace Observations	Inspecting production floors, storage, canteens, dormitories, etc.	Blocked fire exits or improper chemical labelling.
Employee Interviews	Talking confidentially to workers about wages, working hours, harassment, or union rights.	Workers reporting excessive overtime without payment.
Cross-Verification	Comparing worker statements with documents and actual site conditions.	Payroll shows 8 hours/day, but interviews reveal 12-hour shifts.
Benchmarking Against Standards	Comparing practices with Factories Act, 1948, Payment of Wages Act, 1936, Environmental laws, and buyer standards.	_____

Table 5.2.3: Methods to Identify Non-Conformities

Tools for Identifying Non-Conformities

- **Audit Checklists (buyer-specific / standard-specific).**

QMS AUDIT (APPAREL – WOVEN & JERSEY)

VENDOR NAME:		SUPPLIER CODE:	
FACTORY NAME:		FACTORY CODE:	
VENDOR (CONTACT) NAME:		EMAIL ADDRESS:	
FACTORY (CONTACT) NAME:		EMAIL ADDRESS:	

RAW MATERIAL RECEIPT / INSPECTION		SECTION TOTAL	40
FABRIC:			
HOUSEKEEPING IN THE FABRIC WAREHOUSE			SCORE: / 5
1	FABRIC ON PALETTE / SHELF / RACK	<input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> PARTLY	
2	FABRIC ROLL IN PLASTIC BAG / COVER	<input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> PARTLY	
3	LOCATION SYSTEM FOR FABRIC STORAGE	<input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> PARTLY	
4	STOCK KEEPING RECORDS	<input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> PARTLY	
5	IS THERE STOCK ROTATION MANAGEMENT BY DATE?	<input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> PARTLY	
6	IF YES THEN HOW?		
7	DIRECT SUNLIGHT SHINING ON FABRIC	<input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> PARTLY	
8	CLEANLINESS	<input type="checkbox"/> UNACCEPTABLE <input type="checkbox"/> IMPROVEMENT NEEDED <input type="checkbox"/> ACCEPTABLE	
9	TIDINESS	<input type="checkbox"/> UNACCEPTABLE <input type="checkbox"/> IMPROVEMENT NEEDED <input type="checkbox"/> ACCEPTABLE	
10	VENTILATION SYSTEM	<input type="checkbox"/> UNACCEPTABLE <input type="checkbox"/> IMPROVEMENT NEEDED <input type="checkbox"/> ACCEPTABLE	

COLOR ASSESSMENT:			SCORE: / 5
1	IS THERE ANY LIGHT BOX IN THE AREA?	<input type="checkbox"/> NO <input type="checkbox"/> YES	MODEL OF LIGHT BOX:
2	IS THERE A CALIBRATION REPORT FROM 3 rd PARTY?	<input type="checkbox"/> NO <input type="checkbox"/> YES	
3	IS FACTORY AWARE OF THEIR CUSTOMER'S LIGHTING POLICY?	<input type="checkbox"/> NO <input type="checkbox"/> YES	
4	AVAILABILITY OF THE COLOR STANDARD	<input type="checkbox"/> NO <input type="checkbox"/> YES	
5	IS THE LIGHT BOX IN A DARK ROOM?	<input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> PARTLY	
6	HOW DOES THE FACTORY USES THE LIGHT BOX?		
7	ARE RECORDS KEPT FOR EACH DYELOT?	<input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> PARTLY	

TESTING:			SCORE: / 10
1	DOES THE FACTORY HAVE IN-HOUSE LAB?	<input type="checkbox"/> NO <input type="checkbox"/> YES	
2	IF YES, ACCREDITED BY:	ACCREDITATION VALID TO:	
WHAT TEST ARE DONE IN THE IN-HOUSE LABORATORY?			
3	<input type="checkbox"/> COLOR FASTNESS	<input type="checkbox"/> SHRINKAGE	<input type="checkbox"/> DURABILITY
	<input type="checkbox"/> WEIGHT CHECK	<input type="checkbox"/> SEAM TWISTING	<input type="checkbox"/> CROCKING
OTHERS, PLEASE SPECIFY:			

PUMA QMS – APPAREL
 Prepared By: Arnold A. De Jesus Approved By: Howard Williams Date: 01 March 2021 Version # 6
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Fig. 5.2.4: Audit Checklist

- **Factory Records (payroll, attendance, accident registers).**



Fig. 5.2.5: Records like Attendance Registers

- **Observation Logs maintained during walkthroughs.**

		Observer Name	Date	Place	Time of the observation											
Serial Number of Operator	Operation Name	Operation	Work Allowance				Work Space Allowance			Fatigue & Personal Needs	Others					
	Main Operation	Associated Operation	Conditioning arrangement	Product arrangement	Thread replacement	Record	Trouble	Judgement	Correction	Preliminary arrangement	Transport	Moving	Waiting	Fatigue	Physiological needs	Negligence
1																
2																
3																
4																

Fig. 5.2.6: Work Sampling

- **Worker Feedback Forms collected during interviews.**

Importance of Identifying Non-Conformities

- Helps factories correct issues before external audits or buyer inspections.
- Ensures compliance with Indian laws and international standards.
- Protects workers’ rights and ensures safe, ethical manufacturing.
- Strengthens buyer confidence in factory operations.

Sample Audit Checklist for Identifying Non-Conformities

Audit Area	Possible Non-Conformity	Evidence to Collect
Labour Law Compliance	Payment below minimum wages	Payroll records, wage slips, bank transfer proofs, worker interviews
	Excessive overtime beyond legal limits	Attendance logs, overtime registers, interviews
	No appointment letters or contracts	Worker files, HR records
	Child or underage labour	Age verification documents, ID proofs, observation
Health & Safety	Blocked or locked fire exits	Site observation, photos, safety logbook
	Expired or insufficient fire extinguishers	Fire safety register, inspection tags, observation
	Lack of Personal Protective Equipment (PPE)	Observation, issue records, worker interviews
	No first-aid boxes or trained first-aiders	Medical records, training attendance sheets, observation
Working Conditions	Harassment or forced labour	Confidential worker interviews, grievance records
	Unsanitary canteen/dormitory conditions	Observation, maintenance logs
	Lack of clean drinking water	Observation, facility check
Environmental Compliance	Improper chemical labelling or storage	Chemical inventory, MSDS (Material Safety Data Sheets), observation
	Effluent not treated before discharge	Effluent treatment logs, testing reports, observation
	Waste not segregated or disposed safely	Waste disposal records, site observation

Audit Area	Possible Non-Conformity	Evidence to Collect
Documentation & Records	Missing training records for safety or compliance	Training registers, attendance logs
	Expired factory licenses or permits	Copies of licenses, validity dates
	Incomplete accident/incident reports	Accident registers, medical records
	No audit logs or corrective action records	Previous audit reports, CAPA (Corrective Action & Preventive Action) documentation

Table 5.2.4: Sample Audit Checklist for Identifying Non-Conformities in Apparel Sector

5.2.5 Industry Standards and Inspection Methods

Apparel factories are expected to follow both national regulations and international buyer-driven standards. Industry standards (legal and international) form the foundation of compliance in the apparel sector, while inspection methodologies (document checks, walkthroughs, interviews, testing, and checklist reviews) ensure these standards are practically implemented and verified.

Industry Standards Relevant to the Apparel Sector

Standards	Acts	Functions
Labour Standards	Factories Act, 1948	Ensures safe working conditions, working hours, and welfare facilities.
	Minimum Wages Act, 1948	Protects workers from wage exploitation.
	Child Labour (Prohibition and Regulation) Act, 1986	Prevents child labour in hazardous industries.
	Industrial Disputes Act, 1947	Covers grievance redressal and worker rights.
Health, Safety & Environmental Standards	Factories Rules	Fire safety, ventilation, sanitation, emergency preparedness.
	Environmental Protection Act, 1986	Controls pollution, effluent discharge, and waste disposal.
	Hazardous Waste Rules	Safe handling and storage of chemicals used in garment processing.
International & Buyer-Driven Standards	ILO Conventions	Work on child labour, forced labour, freedom of association
	SA8000 (Social Accountability)	Covers labour rights, health and safety, and ethical practices.
	ISO 9001 (Quality Management)	Focus on consistent product quality.
	ISO 14001 (Environmental Management)	Pollution control and sustainability.

Standards	Acts	Functions
	WRAP (Worldwide Responsible Accredited Production)	Global compliance for apparel.
	BSCI (Business Social Compliance Initiative)	Ethical trade audits.

Table 5.2.5: Industry Standards Relevant to the Apparel Sector

Inspection Methodologies Used in Apparel Audits

Document Review	<p>Checking payroll, attendance logs, safety licenses, training records, and compliance certificates.</p> <p>Ensures records match actual practices.</p>
Factory Walkthrough / Observation	<p>Inspecting production floors, chemical storage, dormitories, canteens, fire exits.</p> <p>Helps verify health, safety, and working condition standards.</p>
Worker Interview	<p>Conducted confidentially (on-site or off-site).</p> <p>Used to cross-check wages, overtime, harassment, freedom of association.</p>
Sampling & Product Inspection	<p>Random checks on garments for defects (AQL – Acceptable Quality Level).</p> <p>Ensures buyer quality standards are met.</p>
Environmental Testing	<p>Sampling effluent, checking treatment plants, reviewing lab test reports.</p> <p>Ensures compliance with environmental laws.</p>
Cross-Verification with Audit Checklist	<p>Every observation is tallied with the prepared audit checklist.</p> <p>Ensures no compliance point is missed.</p>

Fig. 5.2.7: Inspection Methodologies Used in Apparel Audits

Importance of Standards & Inspection Methods

The importance of following standards and inspection methods are outlined below.

- Builds buyer trust and long-term business relationships.
- Ensures legal compliance and reduces risk of penalties.
- Promotes worker welfare, safety, and ethical practices.
- Enhances brand reputation in global markets.
- Encourages sustainability and eco-friendly operations.

5.2.6 Comprehensive Compliance Points Verification

Ensuring that all compliance points are properly checked and evaluated is a critical responsibility of factory compliance auditors. It helps maintain adherence to industry standards, legal regulations, and buyer requirements in the apparel sector. Effective compliance evaluation requires structured checklists, cross-verification, periodic audits, technology-driven monitoring, and clear corrective action follow-up to ensure that every compliance point is thoroughly checked in apparel factories.

The various ways of ensuring compliance points are checked within the sector are discussed below:

1. Use of Audit Checklists

- Auditors should always work with a comprehensive audit checklist that covers all compliance areas such as health & safety, labour laws, quality standards, and environmental requirements.
- Each compliance point should be marked as compliant, partially compliant, or non-compliant for clarity.

2. Cross-Verification of Records and Practices

- Documentary evidence (e.g., payroll records, safety training logs, purchase records) must be compared with actual practices observed during site visits.
- Random spot checks and employee interviews ensures reliability.

3. Periodic and Scheduled Reviews

- Compliance checks should be carried out on a regular schedule (monthly, quarterly, or annually depending on requirements).
- Surprise checks can be conducted to avoid pre-audit adjustments.

4. Department-Wise Verification

- Each department (production, HR, safety, maintenance, quality) should be reviewed to ensure all aspects of compliance are covered.
- This avoids gaps or overlaps in evaluation.

5. Use of Technology and Tools

- Digital audit tools, barcoded checklists, and compliance management software help track and verify compliance points systematically.
- Audit results should be stored electronically for transparency and easy retrieval.

6. Stakeholder Involvement

- Line managers, supervisors, and compliance officers should be engaged to clarify procedures.
- Joint reviews improve accountability and ensure all compliance areas are covered.

7. Follow-up Actions

- After evaluation, all non-conformities should be documented and corrective action plans initiated.
- A timeline must be assigned to each corrective action to ensure closure.

Sample Compliance Evaluation Checklist in the Apparel Sector in India

Area of Compliance	Checklist Item	Method of Verification	Compliant (Yes/ No/ Partial)	Observations/ Findings	Corrective Action Required	Deadline for Action
Health & Safety	Fire extinguishers are installed and functional	Physical inspection, records check	Yes	All in place and serviced in last 3 months	None	N/A

Area of Compliance	Checklist Item	Method of Verification	Compliant (Yes/ No/ Partial)	Observations/ Findings	Corrective Action Required	Deadline for Action
	Emergency exits are accessible and clearly marked	Site observation	Partial	One exit blocked by material	Remove obstruction and retrain staff	1 week
	First-aid kits are available and updated	Physical verification	Yes	Kits fully stocked	None	N/A
Labour Compliance	Wage records match statutory requirements	Document check, payroll audit	Yes	All salaries paid above minimum wage	None	N/A
	No evidence of child labour	Employee interviews, ID verification	Yes	Verified all employees are adults	None	N/A
	Overtime is voluntary and within legal limits	Records check, worker interviews	Partial	Some workers reported pressure to work overtime	HR to review policy and ensure consent	2 weeks
Environmental Compliance	Waste disposal methods follow regulations	Observation, document check	Yes	Waste segregated and disposed properly	None	N/A
	Effluent treatment plant (ETP) is operational	Site inspection	No	ETP not functioning during audit	Repair and restart ETP	1 month
Quality & Process	Raw material movement documented properly	Material movement records	Yes	All GRNs and MRNs in place	None	N/A
	Finished goods inspected before dispatch	QC reports	Partial	One lot shipped without inspection record	Strengthen QC process	Immediate

Table 5.2.6: Sample Compliance Evaluation Checklist

5.2.7 Analysing Critical vs. Non-Critical Deviations

In compliance audits of apparel factories, auditors must categorize deviations based on their severity and potential impact. This helps in prioritizing corrective actions and ensuring legal and ethical standards are upheld. Analysing critical vs. non-critical deviations allows apparel sector auditors to prioritize risks, enforce compliance, and recommend timely corrective actions. Critical issues demand urgent attention, while non-critical ones' support process improvement and documentation.

Definition of Deviations

Deviations are defined as instances where actual practices, records, or processes differ from established standards, legal requirements, company policies, or buyer expectations.

They indicate gaps between what is required and what is being followed, and are usually categorized as critical, major, or minor depending on their severity, frequency, and potential impact on compliance, safety, or quality.

- **Critical Deviations (High Risk):** Non-compliances that directly violate legal, ethical, or safety standards, posing severe risk to workers, environment, or brand reputation.
- **Non-Critical Deviations (Low/Moderate Risk):** Minor issues that do not pose immediate danger but require correction to maintain standards and continuous improvement.

Examples of Deviations in Apparel Sector

Category	Critical	Non-Critical
Impact	Legal penalties, factory shutdown, export order cancellations, reputational damage	Operational inefficiency, customer audit remarks, need for process improvement
Features	Examples include employment of child labour, locked emergency exits, underpayment of wages, no fire safety, and use of banned chemicals	Examples include incomplete training records, minor documentation delays, inadequate signage, and inconsistent housekeeping

Table 5.2.7: Examples of Deviations in Apparel Sector

The process of analysis in audits involves a systematic approach to identifying, evaluating, and addressing deviations observed during factory assessments. It begins with detecting non-conformities by comparing actual practices against laws, buyer requirements, and internal policies. Once deviations are identified, their severity and potential risks to worker safety, legal compliance, environmental protection, or product quality are assessed. Based on this evaluation, corrective actions are prioritized, critical issues require immediate corrective and preventive measures, while less severe issues can be handled progressively. Finally, all findings are documented in the audit report with supporting evidence, categorization, risk assessment, and recommended actions to ensure transparency and continuous improvement.

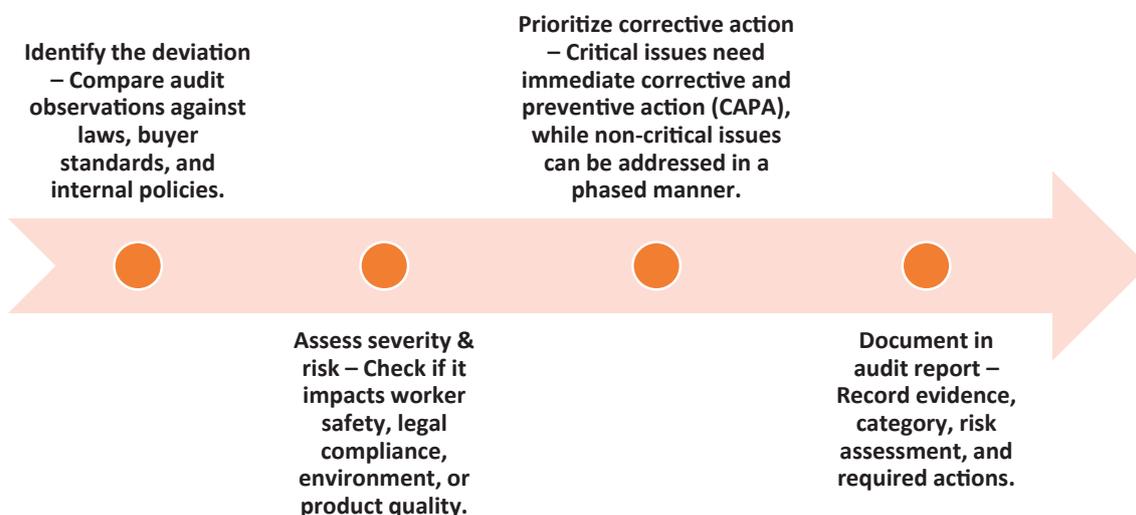


Fig. 5.2.8: Process of Analysis

Corrective Action Approach

1. For Critical Deviations

- Immediate rectification (e.g., unlocking emergency exits, stopping hazardous activity).
- Escalation to management and buyers if unresolved.
- Root cause analysis and preventive measures.

2. For Non-Critical Deviations

- Schedule corrective action within a reasonable timeline.
- Monitor progress in follow-up audits.
- Train staff for awareness and continuous improvement.

Importance of Categorisation

- Ensures legal compliance (Factories Act, Labour Laws, Environmental Laws).
- Builds buyer trust by aligning with global standards (ILO, SA8000, WRAP, SEDEX).
- Enhances worker safety and well-being.
- Supports risk management and continuous improvement.

Summary

- Evidence collection during audits verifies observations and strengthens the credibility of findings.
- An escalation matrix ensures that issues beyond control are referred to the right authority promptly.
- Maintaining integrity in the audit process ensures impartiality, transparency, and trustworthiness.
- All audit observations and findings must be recorded systematically for accuracy and traceability.
- Interdepartmental material movement requires proper documentation such as gate passes, GRNs, and requisition slips.
- Effective communication and feedback with stakeholders promote corrective actions and compliance improvement.
- Conformance to standards is checked using structured audit checklists and on-ground observations.
- Evaluation of compliance involves comparing observations against statutory, buyer, and industry standards.
- Non-conformities are identified and categorized to address risk areas and guide corrective actions.
- Critical vs. non-critical deviations are analysed to prioritize corrective measures and strengthen compliance culture.

Exercise

Multiple-choice Question:

1. What is the main purpose of collecting evidence during a compliance audit?
 - a. To increase production speed
 - b. To verify audit findings and ensure reliability
 - c. To create financial records
 - d. To replace factory documentation
2. In an escalation matrix, which issue should be escalated to senior management?
 - a. Minor housekeeping issue
 - b. Critical safety violation
 - c. Routine attendance irregularity
 - d. Low productivity report
3. Which document is commonly used for tracking interdepartmental material movement?
 - a. Appointment Letter
 - b. Gate Pass
 - c. Wage Register
 - d. Medical Report
4. Critical deviations in compliance audits usually include:
 - a. Minor labelling errors
 - b. Severe worker safety hazards
 - c. Small gaps in documentation
 - d. Misplaced raw material
5. Why is communication of audit findings important?
 - a. To punish non-compliant workers
 - b. To ensure transparency and corrective action
 - c. To finalize production targets
 - d. To reduce material costs

Descriptive Questions:

1. Explain the methods of collecting evidence in a compliance audit and why they are important.
2. Describe the escalation matrix and provide examples of issues that require escalation.
3. Outline the steps to ensure that all compliance points are checked during an audit.
4. Differentiate between critical and non-critical deviations in compliance audits with examples from the apparel sector.
5. Discuss the role of communication and feedback in ensuring effective compliance management in ap-parel factories.

6. Introduction to Organisational Processes



Unit 6.1 - Workplace Policies, Responsibilities, and Communication



Key Learning Outcomes



By the end of this module, the participants will be able to:

1. Describe the organisation's policies and procedures.
2. Describe the details of the job and responsibilities under health, safety and environmental legislation.
3. Describe protocol and format for reporting work-related risks/problems.
4. Describe the process for offering/obtaining work-related assistance.
5. Explain the protocol to obtain more information on work-related tasks.
6. Explain the importance of teamwork and harmonious working relationships.
7. Explain the method of obtaining/giving feedback related to performance.
8. Attach supporting documents or fill in details regarding evidence.

UNIT 6.1: Workplace Policies, Responsibilities, and Communication

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe the organisation's policies and procedures related to workplace safety, operations, and compliance.
2. Explain the responsibilities under health, safety, and environmental legislation relevant to the job role.
3. Discuss the protocol and format for reporting work-related risks or issues in the workplace.
4. Outline the process for offering or obtaining assistance related to work tasks and challenges.
5. Explain the protocol for gathering additional information regarding work-related tasks.
6. Illustrate the importance of teamwork and fostering harmonious working relationships within the workplace.
7. Discuss the method for obtaining and providing feedback related to job performance and continuous improvement.
8. Elaborate on the procedure for attaching supporting documents or filling in details regarding evidence for reporting or documentation purposes.

6.1.1 Workplace Safety Policies and Procedures

Workplace safety policies and procedures are written rules that maintain safe factory conditions in areas like fire safety, machinery use, chemical handling, and protective equipment, ensuring worker protection and risk control. The following are some key laws in India pertaining to the apparel sector for workplace safety policies and procedures applicable to the factory compliance auditor:

Law Name	Key Focus Area
Factories Act, 1948	Ensures worker health, safety, and welfare with specific rules on ventilation, lighting, safe drinking water, sanitation, fire safety measures, machine guarding, and safe working hours in factories.
Occupational Safety, Health and Working Conditions Code, 2020	Consolidates various safety laws into one code, focusing on hazard identification, risk management, working conditions, and clear employer responsibilities for maintaining a safe and hygienic workplace.
Environment Protection Act, 1986	Mandates safe disposal of textile dyes, chemicals, and effluents, controlling pollution from apparel factories and ensuring compliance with environmental safety standards.

Table 6.1.1: Workplace safety compliance laws

A factory compliance auditor must follow the health and safety handbook defining workplace safety Standards, labour Laws, and industry regulations to enforce fair practices and safe working environments.

For a factory compliance auditor, the following are the stages of maintaining workplace safety as outlined by the respective compliance standards as mentioned above:

- **Safety policy and risk assessment**

Auditors ensure factories have clear safety policies covering fire, machinery, chemicals, and PPE. They inspect cutting, stitching, dyeing, and finishing areas to identify hazards, which are recorded in registers with action plans.

- **Implementation of safety measures**

Auditors verify fire equipment is functional, exits are clear, machines are guarded, and PPE is used. They also check lighting, ventilation, and ergonomics to confirm compliance with safe working standards.

- **Worker training and awareness**

Auditors review records to confirm workers receive training in safe machine use, fire drills, evacuation, and first aid. They also ensure refresher sessions, awareness posters, and demonstrations are regularly conducted.

- **Monitoring, reporting, and improvement**

Auditors conduct compliance audits, review accident logs, and interview workers to track practices. They prepare reports with risks and recommendations, follow up on corrections, and promote improvements through feedback.

6.1.2 Health, Safety, and Environment Responsibilities

Health, safety, and environmental responsibilities are essential duties that ensure apparel factories maintain safe, hygienic, and eco-friendly conditions for workers. A factory compliance auditor plays a critical role in verifying that these responsibilities are followed effectively across all departments. For a factory compliance auditor, the following are the stages of maintaining health, safety, and environmental standards:

- **Health and hygiene practices**

Auditors ensure that factories provide safe drinking water, clean sanitation, proper ventilation, and medical facilities. They check canteens, rest areas, and first aid arrangements to confirm that worker health needs are met and hygiene is maintained.

Apparel factory health and hygiene parameters	Images
<p>Safe drinking water facility</p>	

Apparel factory health and hygiene parameters	Images
<p>Cleaning and sanitation</p>	
<p>Proper ventilation</p>	
<p>Medical check-up and first-aid facilities</p>	
<p>Emergency response facility</p>	
<p>Clean canteens</p>	
<p>Clean bathroom</p>	

Apparel factory health and hygiene parameters	Images
<p>Clean production area</p>	

Table 6.1.2: Apparel factory health and hygiene practices

- **Workplace safety and hazard control**

Auditors inspect production areas like cutting, stitching, dyeing, and finishing to identify risks such as unsafe machines, blocked exits, poor lighting, or chemical exposure. Hazards are recorded with corrective action plans, and safety equipment like fire extinguishers, PPE, and machine guards are verified.

- **Environmental management**

Auditors review waste management systems, chemical storage, and effluent disposal to ensure the factory reduces pollution and follows eco-friendly practices. They also check ventilation, dust control, and energy-efficient systems to minimise environmental impact.

- **Training, monitoring, and continuous improvement**

Auditors ensure workers are trained in health, safety, and environment through drills, posters, and demonstrations, while also reviewing accident records and worker feedback. They verify adherence to the safety training manual and follow up with corrective actions for long-term improvements.

6.1.3 Reporting Workplace Risks and Issues

A workplace risk in an apparel factory is any condition or activity, such as unsafe machines, poor ventilation, or chemical exposure that can harm workers' health or safety. The following marks some common instances of workplace risks and wounds that can happen during apparel work:

Types of everyday apparel, work risks and wounds	Description	Images
<p>Puncturing</p>	<p>Caused when sharp tools like needles, scissors, or machine parts pierce the skin or body.</p>	

Types of everyday apparel, work risks and wounds	Description	Images
Cutting and tearing	Happens from contact with fabric-cutting blades, trimming knives, or sharp machine edges.	
Shearing	Occurs when hands or fingers are caught between moving machine parts like cutting or pressing machines.	
Crushing	Results when body parts get trapped under heavy fabric rolls, trolleys, or machine parts.	
Straining and spraining	Happens due to repetitive lifting of bundles, awkward stitching postures, or continuous bending.	

Table 6.1.3: Common workplace risks and wounds in apparel work

A factory compliance auditor identifies these risks at all stages of apparel work and reports them with corrective recommendations to ensure worker protection through the following stages:

- **Recognising signs of potential hazards**

The auditor identifies unsafe conditions such as faulty sewing machines, tangled wires, or blocked fire exits. Early recognition prevents accidents and supports uninterrupted production.

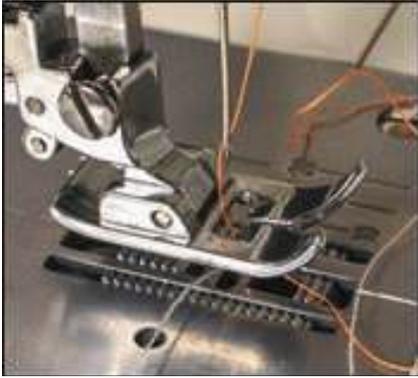
Potential hazards	Identification signs
Faulty sewing machines	
Tangled wires	
Blocked fire exits	

Table 6.1.4: Common potential hazard signs in apparel factory work

- **Reporting near-miss incidents**

Even small events, like a worker almost tripping over loose fabric bundles, must be recorded and reported.



Fig. 6.1.1: Scattered fabric rolls

Such reporting helps prevent future accidents and builds a safety culture through a near-miss incident reporting format.

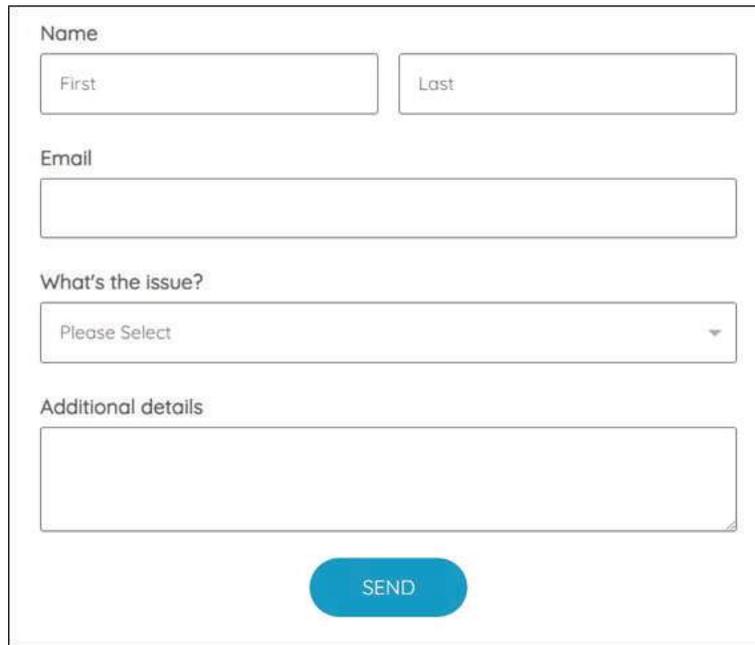
NEAR MISS DETAILS	
Date and time of the near miss :	<input type="text"/>
Location of the near miss :	<input type="text"/>
Describe the near miss :	<input type="text"/>
Details of the witnesses, if any :	<input type="text"/>
NEAR MISS CATEGORY	
Select the appropriate category for the near miss:	
<input type="checkbox"/> Slip, Trip, or Fall	
<input type="checkbox"/> Equipment or Machinery Malfunction	
<input type="checkbox"/> Unsafe Work Conditions	
<input type="checkbox"/> Hazardous Material Exposure	
<input type="checkbox"/> Communication Failure	
<input type="checkbox"/> Procedural Error	
<input type="checkbox"/> Other (specify) :	<input type="text"/>
PERSON(S) INVOLVED	

Fig. 6.1.2: Near-miss incident reporting format

For a factory compliance auditor in the apparel sector, proper reporting channels for near-miss incidents include line supervisors, safety officers, compliance managers, and official tools like safety registers or digital portals. These channels ensure every near-miss is documented and addressed promptly to maintain safety and compliance.

6.1.4 Seeking or Offering Work Assistance

A factory compliance auditor in the apparel sector often needs to seek or offer assistance to ensure audits, inspections, and documentation checks are accurate, safe, and efficient. Acting as a focal point, the auditor requests support when required and guides to maintain compliance, safety, and productivity. A support request form is used by a factory compliance auditor in the apparel sector to formally request assistance or provide guidance to stakeholders, ensuring clear communication and timely resolution of compliance-related issues.



The form is titled "Assistance request form sample template". It contains the following fields:

- Name:** Two input boxes labeled "First" and "Last".
- Email:** A single input box.
- What's the issue?:** A dropdown menu with "Please Select" and a downward arrow.
- Additional details:** A large text area for notes.
- SEND:** A blue button at the bottom center.

Fig. 6.1.3: Assistance request form sample template

- **Recognising when assistance is needed**

The auditor approaches line supervisors, HR staff, or safety officers for machine maintenance records or chemical storage compliance. Professional requests strengthen cooperation and ensure audit tasks are completed correctly. At the same time, the auditor offers guidance on how these records should be updated to meet compliance standards.

- **Machine maintenance record**

A structured record used to log machine maintenance activities, dates, issues identified, and actions taken for consistent record-keeping.

Date	Machine number	Complain By	Complain time	Attended time	Parts Consumed	Sign. supervisor	Sign. repairer	Remarks

Fig. 6.1.4: Machine maintenance record sample template

- **Chemical storage compliance sheet**

A compliance used to track the storage, handling, and safety compliance of chemicals in the factory, ensuring adherence to regulatory standards.

Chemical Storage Area Daily Safety Checklist	
Name of company	Name of person administering this checklist
Are there ventilation systems operational and sufficient for the space?	No <input type="checkbox"/> Yes <input type="checkbox"/>
Are staff familiar with the location and proper use of all safety equipment?	No <input type="checkbox"/> Yes <input type="checkbox"/>
Are all containers free from leaking or corrosion?	No <input type="checkbox"/> Yes <input type="checkbox"/>
Are there no structural defects?	No <input type="checkbox"/> Yes <input type="checkbox"/>
Is a spill clean-up kit available and replenished?	No <input type="checkbox"/> Yes <input type="checkbox"/>
Is personal protective equipment available, clean and in good condition?	No <input type="checkbox"/> Yes <input type="checkbox"/>
Are all exit doors unobstructed and clearly marked?	No <input type="checkbox"/> Yes <input type="checkbox"/>

Fig. 6.1.5: Chemical storage compliance sheet sample template

- **Offering help proactively**

The auditor supports workers and managers by explaining checklists, advising on corrective actions, or coaching on safe practices for records such as; worker welfare audits, or consulting with safety officers on safety inspection reports. This builds trust and drives continuous improvement. In doing so, the auditor provides practical tips that make reporting and corrections easier for the staff.

- **Worker welfare audits**

This audit report helps record and evaluate the welfare conditions of workers in the factory. It ensures compliance with labour laws and promotes a safe, healthy, and fair work environment.

EMPLOYEE WELFARE AUDIT			
Date:			
Employee Name:			
Department:			
Job Title:			
Year of Joining:			
	METRICS	RESPONSE	REMARKS
EMPLOYEE SATISFACTION			
How satisfied are you with your overall experience working here?	Include Options (Satisfied, Very Satisfied, Neutral, etc.)		
What aspects of your job do you find most satisfying and why?	A brief response		

WORK ENVIRONMENT			
How would you rate the physical working conditions (e.g., safety, cleanliness, ergonomics)?	Include Options (Good, Very Good, Average, Bad, etc.)		
Are there any specific environmental concerns you have about the workplace?	Include Options (Yes/No) If yes, give them an opportunity to state their concerns)		

Fig. 6.1.6: Employee welfare audit sample template

o **Safety inspection sheet**

This inspection sheet is used to systematically check safety measures and potential hazards in the workplace. It helps ensure compliance with safety standards and reduces the risk of accidents.

Inspector: Inspection date:				
Classification	Check item	in accordance with	test result	corrective or Control Measure
Safety Production Management				
working environment				
industrial equipment				
Fireproof and explosion-proof				
special work				
other				

Fig. 6.1.7: Safety inspection sheet sample template

• **Sharing task-related knowledge**

By explaining safety protocols, reporting methods, or conducting awareness sessions, the auditor ensures workers understand compliance requirements and avoid repeat violations with instructions such as; PPE use or demonstrating proper incident reporting formats. This assistance helps workers apply compliance knowledge in their daily tasks confidently.

o **PPE usage demonstration**

This demonstrates the correct use of personal protective equipment (PPE) by workers and staff. It ensures safety compliance and helps prevent workplace injuries. Donning involves correctly putting on personal protective equipment to ensure full protection before starting work. Doffing is the safe removal of PPE to avoid contamination and to maintain hygiene after completing tasks.



Fig. 6.1.8: PPE usage demonstration steps

o **Proper incident reporting format**

This format is used to document workplace incidents clearly and accurately. It ensures timely reporting, investigation, and corrective action to maintain safety standards.

Incident type: _____	Date of incident: _____	Time of incident: _____
Location: _____		
City: _____	State: _____	Zip code: _____
Specific area of location (if applicable): _____		
Offense incident description:	_____	
Follow-up action:	_____	
Name / Role / Contact of parties involved:		
1.	_____	
2.	_____	

Fig. 6.1.9: Incident reporting format sample template

- **Using established support protocols**

The auditor follows set procedures such as checklists, registers, or digital systems to maintain accuracy, accountability, and legal compliance by submitting audit findings through digital compliance portals or maintaining records in safety registers. The auditor also assists by training staff on how to correctly use these tools for compliance reporting.

- **Safety registers and logs**

These registers and logs are used to systematically record safety-related activities, incidents, and observations in the workplace. They help track compliance, monitor trends, and support corrective actions to maintain a safe working environment.

Risk Register Template					
ID	Risk Description	Impact	Response	Level	Owner

Fig. 6.1.10: risk register sample template

- **Legal compliance sheet**

This sheet is used to document adherence to applicable labour, safety, and environmental laws in the factory. It helps ensure regulatory compliance and supports audits and inspections by authorities.

WORK TASK								
START DATE	END DATE	COMMUNICATION	PROCESS / PROCEDURE	METHOD	RESPONSIBILITY	PRODUCT IMPACTS	MATERIAL / RESOURCES	MONITORING & CONTROLS

Fig. 6.1.11: Legal compliance tracking documents

- **Evaluating outcomes of assistance**

The auditor uses the assistance effectiveness review format to confirm that corrective actions after near-miss incidents are effective and risks are addressed. This format also helps teams identify gaps and strengthen future compliance measures.

Name :	Specify the name
Organisation:	Specify the name of organisation
Responsibility:	Specify the responsible person
Describe what worked well in the area you were involved in. Text here Text here	
Describe what you thought was NOT successful in the area you were responsible for. Text here Text here	
List your recommendations for improvement for future events for area you were responsible for. Text here Text here	

Fig. 6.1.12: Assistance effectiveness review format sample template

6.1.5 Gathering Information for Work Tasks

A factory compliance auditor in the apparel sector gathers information by reviewing records, policies, and on-site practices such as safety logs, chemical storage sheets, or welfare audit reports. This ensures accurate data is collected to assess compliance with legal, safety, and ethical standards.

- **Identifying reliable information sources**

A factory compliance auditor in the apparel sector uses reliable sources and compliance portals to ensure accurate and updated audit findings such as follows:

- **Primary Source**

Primary sources are factory records that confirm legal and operational compliance. A needle breakage logbook in a stitching unit provides direct proof of safety practices and helps auditors verify records.

Broken Needle Record							
The length between two dotted lines in red is the exact length of the needle type assuring the complete parts of the broken needle is collected)							
Date	Line #	Operator's ID no. / Name of Operator	Machine # or type	Style #	P.O. #	Please attached all parts of needle	If any parts of a needle cannot be found, please advise ACTION

Fig. 6.1.13: Broken needle record sample template

Some other examples of primary sources include worker attendance registers, machine maintenance logs, and accident incident reports in garment factories.

o **Secondary Source**

Secondary sources are summarised data from primary records that reveal patterns and compliance gaps. A monthly HR report on overtime hours in a garment factory helps auditors check labour law compliance and use summarised data effectively.

No.	Work ID	Name	Position	Reason	Working Hours	Applicant	Result
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							

Supervisor: _____ HR: _____ Lead: _____
 Date: _____ Date: _____ Date: _____

Fig. 6.1.14: Overtime data report

Some other examples of secondary sources include wage summary sheets, quarterly compliance dashboards, and compiled safety performance reviews.

o **Tertiary Source**

Tertiary sources are compiled references that give quick access to legal rules and standards. For example, the Ministry of Textiles' procedure handbook provides support to auditors during inspections. Template images of such handbooks show how they help in faster decision-making.

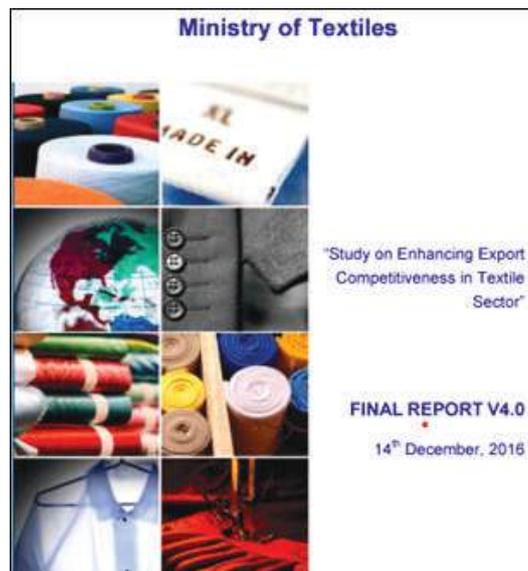


Fig. 6.1.15: Ministry of textiles procedure handbook

(Source: https://texmin.nic.in/sites/default/files/Enhancing_Export_Competitiveness_Textile_Sector_03042018.pdf)

Some other examples of tertiary sources include buyer compliance manuals, international labour law guides, and export promotion council reference books.

- **Reviewing technical specifications carefully**

A factory compliance auditor in the apparel sector ensures audit accuracy by verifying credible information sources and reviewing technical specifications. This prevents errors, ensures regulatory compliance, and strengthens audit quality. The auditor must focus on the following technical specifications:

Type of Source	Description and Examples	Technical Details Auditor Can Take Out
Credible	Sources published within the last ten years, with valid author information, from accredited institutions or government bodies. Examples: Ministry of Labour circulars, ILO reports, BIS codes, government-published factory safety notifications.	Updated labour laws, safety codes, statutory compliance requirements, standard benchmarks for audits, and reliable operational guidance.
Non-Credible	Sources older than ten years, with unclear or shadowy authorship, or from commercial websites without accreditation. Examples: outdated buyer audit reports, blogs without references, promotional content from private consultancy websites.	Alerts on unreliable or outdated data, potential compliance gaps, and caution on applying obsolete guidelines.

Table 6.1.5: Technical sources and details

- **Information clarity and accuracy**

A factory compliance auditor in the apparel sector must confirm unclear instructions, cross-check details, and keep records well-organised. Regular updates and clear communication prevent errors, save time, and build trust during audits.

6.1.6 Importance of Teamwork and Harmony

A factory compliance auditor in the apparel sector must work collaboratively with various teams to ensure audits, inspections, and corrective actions are carried out effectively. Teamwork and harmony are essential for maintaining a safe, compliant, and productive workplace while fostering trust between workers and management.

Teamwork and harmony roles	Auditor actions and impact
Collaboration with supervisors and workers	Coordinates with supervisors, safety officers, HR, and production teams to gather information, verify compliance, and ensure audits are thorough and corrective actions are smooth.

Teamwork and harmony roles	Auditor actions and impact
Sharing knowledge and guidance	Shares compliance insights, safety protocols, and audit requirements to enhance team understanding, prevent repeat violations, and strengthen safety culture.
Conflict resolution and effective communication	Promotes professional communication, clarifies expectations, and mediates misunderstandings to prevent conflicts and support harmonious workplace relationships.
Supporting team goals and productivity	Assists teams during audits or training to achieve compliance and safety objectives, fostering cooperation and timely task completion.

Table 6.1.6: Teamwork harmony auditor roles

6.1.7 Feedback for Performance Improvement

A factory compliance auditor in the apparel sector must actively use feedback to improve individual and team performance, ensure compliance, and maintain high operational standards. Constructive feedback helps identify gaps, correct errors, and promote continuous learning while fostering a culture of safety, quality, and efficiency. Timely and effective feedback strengthens teamwork, supports professional growth, and drives overall operational improvement.

Feedback Practice	Action
Gathering performance data	Collects audit results, compliance reports, and operational observations to assess performance trends and identify areas needing improvement.
Providing constructive feedback	Shares clear, specific, and actionable feedback with supervisors, workers, and teams to correct deviations, reinforce best practices, and prevent repeat issues.
Encouraging two-way communication	Engages in open discussions with team members to understand challenges, clarify expectations, and build mutual trust in implementing corrective actions.
Tracking progress and follow-up	Monitors the implementation of feedback recommendations, verifies improvements, and ensures corrective actions are sustained over time.
Promoting a continuous improvement culture	Uses feedback insights to suggest process enhancements, strengthen compliance practices, and foster a culture of ongoing learning and operational excellence.

Table 6.1.7: Auditor feedback improvement roles

The factory compliance auditor uses a performance improvement feedback checklist to identify gaps, evaluate compliance, and provide structured, actionable feedback aligned with safety, quality, and operational standards.

Employee name		Review period	
Department		Date of review	
Performance and achievements			
Examples of good performance		Examples of bad performance	
What were the highlights of your performance during this evaluation period?		What were the main obstacles that kept you from completing your tasks properly during this evaluation period?	

Fig. 6.1.16: Performance improvement feedback checklist sample template

6.1.8 Attaching Documents for Work Evidence

For a factory compliance auditor in the apparel sector, attaching documents for work evidence involves collecting and organising records, reports, and supporting materials that verify audit findings and compliance activities. The following are the types of documents for work evidence:

Work evidence document types	Description and purpose
Audit reports	Records of inspections and compliance checks, documenting findings and corrective actions.
Safety checklists	Lists are used to verify adherence to safety protocols and regulatory standards.
Training records	Proof of training sessions for workers and supervisors on compliance and safety procedures.
Incident and corrective action reports	Documents workplace incidents, non-compliance cases, and corrective steps taken.
Attendance and shift logs	Tracks workforce presence and shift schedules for operational accountability.
Photographs and visual evidence	Visual proof of machinery, processes, or safety practices to support audit findings.

Table 6.1.8: Auditor work evidence types

The following are the proper stages of attaching documents for work evidence:

- Collect all relevant documents like audit reports, safety checklists, training records, incident reports, attendance logs, and photographs.
- Verify that each document is accurate, complete, and reflects the actual compliance activity.
- Organise documents systematically by department, date, or type for easy retrieval.
- Label documents clearly to indicate their type, source, and date for quick identification.
- Attach documents to audit files, reports, or digital compliance systems.
- Cross-check attached documents to confirm they support audit findings and recommendations.
- Approve documents through supervisor review to validate completeness and accuracy.
- Seek feedback from supervisors or peers to ensure all required evidence is included and accurate.
- Update records by incorporating any additional documents or corrections identified during the feedback process.
- Review and store documents securely to ensure accountability and maintain records for future reference.

Proper documentation ensures transparency, provides proof of completed tasks, and supports accountability in maintaining safety, quality, and operational standards. The auditor uses a work evidence attachment checklist to ensure that all necessary documents are properly collected, verified, organised, attached, and reviewed to maintain compliance and operational transparency.

Your Company Name		Job Number	
Your Phone Number		Completed:	Completion Date
Your Email Address			Completion Time
Recipient:			
Client Name			
Street Address			
City, State, ZIP			
Name of the Job Completed			
Job Details	Completed		
	<input type="checkbox"/>		
Additional Notes:			
<i>[e.g., anything that came up during your visit, details of any further work needed]</i>			

Fig. 6.1.17: Work evidence attachment checklist

Summary

- Employees must be familiar with the organisation's policies and procedures.
- Workers must follow responsibilities under health, safety, and environmental rules.
- Risks and problems at work must be reported in the proper format.
- Help must be given or taken whenever work-related assistance is required.
- Information about tasks must be collected using the proper protocol.
- Teamwork is essential for smooth workplace functioning.
- Workers must keep harmonious relationships with colleagues.
- Performance feedback must be shared and accepted in a respectful manner.
- Continuous improvement requires proper feedback methods.
- Supporting documents must be attached to reports or evidence.
- Records and communication must be kept clear and updated.
- Workplace compliance must be ensured through correct processes.

Exercise

Multiple-choice Question:

- Which of the following is part of workplace policies
 - Safety rules
 - Personal hobbies
 - Entertainment programs
 - None of these
- What is the main reason for reporting work-related risks
 - To blame others
 - To follow proper safety measures
 - To avoid communication
 - To save time
- Teamwork in the workplace is essential because
 - It reduces harmony
 - It builds cooperation
 - It increases problems
 - It avoids responsibilities
- What should be included when attaching supporting documents
 - Evidence and details
 - Personal notes
 - Irrelevant data
 - None of these
- Performance feedback helps in
 - Stopping teamwork
 - Continuous improvement
 - Avoiding responsibilities
 - Reducing communication

Descriptive Questions:

- Explain the importance of knowing organisational policies.
- Describe how to report risks or problems at the workplace.
- Explain why teamwork is needed for smooth working.
- Discuss how performance feedback helps workers.
- Describe the process of attaching documents to reports.



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7. Prepare Audit Report

Unit 7.1 - Documentation and Reporting Procedures

Unit 7.2 - Analysis and Classification of Audit Findings



AMH/N2202

Key Learning Outcomes

By the end of this module, the participants will be able to:

1. Describe documentation and reporting formats.
2. Describe how to evaluate information collected during the compliance audit.
3. Escalate remarks and recommendations for each non-conformity or deviation to the relevant department.
4. Maintain confidentiality of the audit report, wherever applicable.
5. Explain the Audit report writing method.
6. Follow the approved template to create the audit report.
7. Explain documentation formalities related to auditing.
8. Ensure all areas of compliance are covered in the audit report.
9. Analyse the information gathered during the audit for conformance with requirements.
10. Classify the findings as conformance to standards or non-conformance, as the case may be, for each of the areas inspected as per the audit checklist.
11. Identify various non-conformances to the audit checklist.
12. Classify the non-conformances as major/minor or observations.

UNIT 7.1: Documentation and Reporting Procedures

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe the various documentation and reporting formats used in the compliance audit process.
2. Discuss the process of evaluating the information collected during the compliance audit.
3. Outline the procedure for escalating remarks and recommendations for non-conformances or deviations to the concerned department.
4. Illustrate the importance of maintaining confidentiality in audit reports, where applicable.
5. Explain the method for writing an effective audit report.
6. Describe how to follow the approved template when preparing the audit report.
7. Elaborate on the documentation formalities associated with auditing procedures.

7.1.1 Documentation and Reporting Formats in Audits

As a factory compliance auditor, one should ensure operations meet all required standards through clear and consistent documentation at every audit stage. This transparent reporting helps factory management, buyers, and stakeholders easily understand and act on the findings.

- **What is a factory compliance audit?**

In the apparel sector, an audit checks if a factory follows laws, buyer standards, and ethical practices to ensure safety, quality, and trust in the supply chain.

- **Audit types in the apparel factory**

Audit Type	Purpose
Social compliance audit	Checks worker rights, wages, working hours, health, and safety compliance.
Quality audit	Evaluates product quality standards, processes, and defect prevention measures.
Environmental audit	Reviews waste management, pollution control, and sustainability practices.
Technical / Process audit	Examines machinery, production methods, and process efficiency.
Security audit	Assesses a facility's security measures and practices systematically, identifies vulnerabilities, and ensures the protection of people, assets, and information.

Table 7.1.1: Types of factory compliance audits

- **Different formats of audit documentation and reporting**

Audit documentation and reporting lists refer to the set of tools and records used by a factory compliance auditor to track findings, report non-conformances, implement corrective actions, and finalise audit results. They are of the following types:

o Auditor's Checklist

A factory compliance auditor in the apparel sector must use this checklist to systematically verify safety, quality, and operational compliance, ensuring no critical audit point is overlooked.

Reference Number from QAS-3	What Area(s) were Audited or Inspected?	Concerns or Non-compliant Areas Observed	Severity Value
Root Cause			
Recommended Corrective Action(s)			

Fig. 7.1.1: Auditor's checklist sample template

o Non-Conformance Report (NCR)

A factory compliance auditor in the apparel sector must use an NCR to document any safety, quality, or process deviations and formally alert management to initiate corrective measures.

Date	Report No.	To:	NON-CONFORMITY CATEGORY		
		Subject :	RECURRING	MAJOR	MINOR
NON-CONFORMITY DESCRIPTION					
Auditor Name		Signature	Date		

Fig. 7.1.2: NCR sample template

o Corrective Action Plan (CAP)

A factory compliance auditor in the apparel sector must use a CAP to outline steps, responsibilities, and timelines to resolve non-conformances and prevent future occurrences effectively.

CORRECTIVE ACTION FORM TEMPLATE							
DEFICIENCY DESCRIPTION	ACTIONS	DEFICIENCY RESOLVED?	RESOURCES	LEAD	PLANNED Date of Completion	ACTUAL Date of Completion	REVIEW DATE

Fig. 7.1.3: CAP checklist sample

o **Final Audit Report**

A factory compliance auditor in the apparel sector must use the final audit report to consolidate all findings, NCRs, CAPs, and observations, providing management with a complete overview of compliance and recommendations for improvement in the form of a final audit report.

AUDIT NO		AUDIT DATE		AUDIT AREA		N.C. NO. & DATE	
AUDITOR(S)		SIGN		AUDITEE(S)		SIGN	
FINDING NO	OBSERVATIONS / QUESTIONS			AUDITEE RESPONSE		EVIDENCE RECORDS NO.	STATUS

Fig. 7.1.4: Audit report sample template

7.1.2 Evaluating Collected Compliance Audit Information

After completing an audit, the compliance auditor analyses and organises all collected data to ensure the report is accurate, objective, and actionable. Proper evaluation provides a solid foundation for addressing non-conformances and improving operational standards. A factory compliance auditor in the apparel sector uses the Audit Evaluation Checklist sample template to systematically review and assess all audit documents and reports for accuracy, completeness, and compliance.

Reference Number from QAS-3	What Area(s) were Audited or Inspected?	Concerns or Non-compliant Areas Observed	Severity Value
Root Cause			
Recommended Corrective Action(s)			

Fig. 7.1.5: Audit evaluation checklist sample template

The following are the stages of evaluating collected compliance audit information:

- **Data verification and cross-referencing**

Cross-check documents with interviews and on-site observations to ensure accuracy, identify discrepancies, and strengthen audit credibility.

- **Severity Assessment**

Classify non-conformances by potential impact, from minor documentation errors to critical safety or compliance hazards, and follow structured stages to prioritise actions, assign responsibility, monitor implementation, and update classifications based on outcomes and feedback.

- **Contextual and Root Cause Analysis**

Consider the factory's operational context, regulations, and standards to understand why non-conformances occurred, providing insights for practical corrective actions and preventing recurrence.

7.1.3 Escalating Non-Conformance Remarks and Recommendations

When a factory compliance auditor identifies significant non-conformances, they must promptly escalate these findings to ensure serious risks, such as imminent safety hazards or major human rights breaches, are addressed immediately. This structured escalation process is vital for providing factory management with timely and actionable guidance to mitigate risks and maintain compliance.

- **Escalation criteria**

Escalation criteria highlight critical non-conformances requiring immediate management attention, including serious safety risks, legal violations, or major operational breaches. A formal escalation process ensures timely communication, clear responsibility, and accountability, with the auditor using an audit recommendation notification sheet to document and track corrective actions.

Date of Issued: _____	
Pre-audit meeting Date: _____ & Time: _____ End time: _____	
Planned Audit Date: _____	
Auditor(s): _____ _____ _____ _____	Auditee(s): _____ _____ _____ _____
Meeting Place _____ _____	Audit Areas _____ _____
Reference Standards: _____ _____ _____ _____	
Scope of Audit _____ _____	
<u>Auditor Team – Sign.</u>	<u>Auditee Team Sign.</u>
<u>Management Representative Sign.</u>	

Fig. 7.1.6: Audit recommendation notification sheet

- Immediate Notification and Action-Oriented Recommendations**

For critical findings, the auditor should promptly notify factory management, ideally in person, and follow up with written documentation to mitigate risks and demonstrate the seriousness of the issue. Escalation should include clear, practical, and measurable recommendations, with timely follow-up to ensure accountability, track progress, and reinforce the auditor’s proactive role. The following table shows the list of stakeholders and the necessary actions that need to be taken while conducting the escalation criteria in the audit:

Escalation Sequence	Example	Relevant Stakeholders involved	Auditor Actions / How Performed
Identify Non-Conformance	Sewing machine needle guards are missing.	Line supervisors, production staff, and quality control team.	Conduct inspections, review documents, and collect evidence to detect deviations from compliance standards.
Assess Severity	Overloaded electrical sockets in the cutting section are posing a fire risk.	Production managers, safety officers, and the compliance team.	Analyse evidence, determine potential risks, and classify non-conformance as minor, major, or critical.
Immediate Notification	Workers handling chemicals without PPE.	Factory manager, HR manager, safety officer.	Notify factory management promptly, ideally in person, and follow up with formal documentation.
Provide Recommendations	Provide PPE to workers and train them on safe chemical handling.	Department heads, line supervisors, and compliance coordinators.	Draft clear, practical, and measurable corrective actions with timelines to resolve non-conformance.
Assign Responsibility	Production supervisor assigned to implement PPE compliance.	Production supervisors, maintenance head, and HR.	Allocate corrective actions to the appropriate individual or team and set deadlines.
Monitor Implementation	Verify PPE usage during chemical handling.	Assigned department staff, quality control team, and auditors.	Regularly follow up, verify completion of actions, and update records.
Review & Close	Confirm PPE compliance documented in the audit report.	Factory management, HR, safety officers, and compliance team.	Confirm all corrective actions are implemented, update audit files, and document lessons learned.

Table 7.1.2: Audit workflow in escalation process

7.1.4 Importance of Confidentiality in Audit Reports

An audit report holds sensitive data on factory operations, finances, employees, and compliance, so strict confidentiality is essential.

- **Protecting Proprietary Data**

Protecting proprietary data means keeping factory methods, processes, and supply chain details secure from unauthorised use or sharing. The following are the different types of proprietary data used in factory compliance audit:

Proprietary data Type	Description	Example
Zero-Party Data	Information voluntarily shared by the factory or staff with the auditor for specific compliance purposes.	Worker training preferences, voluntarily submitted safety suggestions, or self-reported compliance checklists.
First-Party Data	Data collected directly by the factory compliance auditor during audits or inspections.	Audit findings, machine maintenance logs, incident reports, attendance records, and PPE usage logs.
Second-Party Data	Data received from trusted external partners or suppliers related to compliance and operational standards.	Supplier quality certifications, subcontractor safety audit reports, and approved chemical usage records.
Third-Party Data	Data obtained from independent sources or external agencies for benchmarking, regulatory compliance, or risk assessment.	Industry safety benchmarks, government labour compliance statistics, and reports from external certification bodies (e.g., ISO, SA8000).

Table 7.1.3: Types of proprietary data

- **Auditor's Code of Ethics**

For a factory compliance auditor in the apparel sector, the Code of Ethics mandates integrity and objectivity, while requiring them to identify and mitigate threats to their independence, such as self-interest or intimidation. In India, in the context of a factory compliance audit in India, the following ethical codes are linked with the Ministry of Labour & Employment and the Factories Act, 1948:

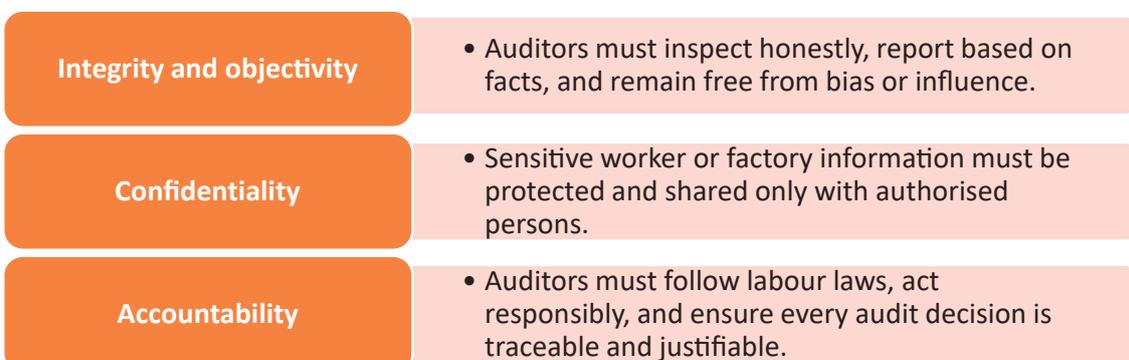


Fig. 7.1.7: Audit code of ethics

Based on the implementation of the code of ethics, the following are the types of audits in the factory compliance of the apparel sector:

Type of Audit Information	Description
Public	Information is open and accessible to everyone; for example, general safety guidelines, fire evacuation procedures, or hygiene standards are displayed on notice boards for all employees.
Internal Only	Data is shared within the organisation but not outside; for example, daily housekeeping checklists, production line inspection reports, or internal audit scorecards, which are shared only within the audit team.
Confidential	Sensitive information is limited to authorised staff; for example, worker grievance records, incident investigation reports, or payroll-linked safety compliance data, which are accessible only to HR and auditors.
Restricted	Highly controlled information with access limited to senior management or regulators; example: regulatory compliance documents, supplier contracts, chemical handling audits, or legal audit findings accessible only to top management.

Table 7.1.4: Types of audit information

- **Controlling Report Distribution**

The final audit report should only be shared with pre-approved individuals or groups, such as the factory management and the commissioning buyer. Auditors must be diligent in controlling who receives the report and should never distribute it widely without explicit permission. The following are the stages of audit report distribution:

Stage	Key channels and completion
Initial debriefing	Internal team reviews findings for accuracy; external preliminary verbal debrief is given to factory management.
Report preparation	The auditor drafts and the senior team approves the report; completion occurs when the final report is ready for release.
Formal distribution	Report shared externally with buyer/brand and factory; may also go to certification bodies like BSCI/SEDEX.
Action planning and review	The factory prepares the CAP plan internally; the buyer’s compliance team reviews and finalises the CAP with feedback.

Table 7.1.5: Factory compliance audit report flow

In the apparel sector compliance, audit data is collected through inspections, interviews, and document reviews, then classified as public, internal, confidential, or restricted. If disputes arise, a clarification stage ensures alignment, after which records are securely stored and shared only with authorised stakeholders in a standard format:

Distribute audit report to:

Clarification Required Sign-Off

Fig. 7.1.8: Audit Report Distribution Template in the Office System

7.1.5 Writing an Effective Audit Report

A factory compliance audit report in the apparel sector provides clear documentation of workplace practices, safety, and legal compliance. It must be accurate, unbiased, and aligned with the Factories Act, 1948 and buyer requirements. The following are the stages of writing an effective audit report:

- **Defining Principles**

Audit reporting begins with strong ethical foundations. The report must reflect integrity, objectivity, confidentiality, accountability, and professional behaviour to maintain credibility.

- **Identifying Audit Points**

Auditors decide what issues to check and record in the report. Key points include health and safety, working hours, wages, environmental practices, and grievance mechanisms.

- **Mapping Stakeholders**

The report should highlight who is affected by the findings and why. Stakeholders include factory management, workers, buyers, regulators, and the auditors themselves.

- **Structuring the Report**

The report should be written in a clear and systematic layout that can be understood by all stakeholders. Sections should include:

- **Executive Summary:** A short overview of findings.
- **Observations:** Factual notes on what was seen (e.g., “Fire exit on Floor 2 blocked by fabric rolls”).
- **Non-Conformities:** Clear mention of violations (e.g., “Overtime exceeds 60 hours per month as per records”).
- **Root Cause Analysis:** Why the issue occurred (e.g., “Lack of regular safety inspection”).
- **Corrective Action Plan:** Steps suggested to fix the issue with deadlines.
- **Supporting Evidence:** Attach relevant documents, such as photos, worker interview summaries, or payroll copies.
- **Categorisation:** Tables, numbering, and categorisation by severity (critical, major, minor) should be used for easy understanding.
- **Clarifying and Aligning:** Disputed or unclear findings must be discussed before finalisation. Clarification with factory representatives ensures fairness without compromising objectivity.
- **Securing and Distributing:** The final report is shared only with authorised stakeholders. Secure methods such as audit portals, encryption, and version control protect its confidentiality.

FACTORY AUDIT REPORT				
Supplier name		Factory name		
Date		Auditor(s)		
Product category				
Factory address				
1. SUMMARY OF FINDINGS				
1.1 Observations and conclusion				
	Good	Average	Bad	Comments
General organization in the factory				
Working environment (light, noise..)				
Motivation of top management				
Ease of mutual understanding				
	Yes, for sure	Probably	Probably not	Comments
Can they make our product?				
Do they have enough capacity?				
Do they already sell to our country?				
Do they understand our standards?				
	Low cost, high volume	Intermediate	High quality, low volume	Constant new product development
Factory's main focus				
2.1 Decision				
	Yes	No	Comments	
Is this factory approved?				
Will close monitoring of first production run be necessary?				

Fig. 7.1.9: Audit report sample template

- **Following Up on Corrective Actions**

Auditors must track corrective measures through follow-up visits, record checks, and interviews with workers. Clear timelines, progress reports, and closure notes ensure accountability and lasting compliance.

- **Ensuring Continuous Improvement**

Reports should go beyond compliance by suggesting preventive steps and efficiency upgrades. Examples include digital attendance, better ventilation, and welfare committees to build trust and improve reputation.

7.1.6 Following the Approved Audit Report Template

The audit report must follow the buyer's or auditing body's template to ensure consistency, completeness, and easy analysis. Signatures, dates, and stamps are required to validate the report formally. All related documents must be securely stored for future reference, re-audits, and legal compliance. The following are the approved standards and templates that a factory compliance auditor must follow in the apparel sector:

Audit Standard	Purpose and audited reports distributed.
 <p>ISO 9001:2015</p>	<p>Reports on quality policies, customer focus, internal audits, and corrective actions. Key feature: ensures consistent product and service quality through a quality management system.</p>
 <p>ISO 14001:2015</p>	<p>Reports on waste management, emissions, compliance with environmental laws, and continual improvement efforts. Key feature: systematic approach to reduce environmental impact.</p>
 <p>SA8000:2014</p>	<p>Reports on working hours, wages, health & safety, and absence of child/forced labour. Key feature: focuses on social accountability and fair treatment of workers.</p>
 <p>SEDEX SMETA</p>	<p>Reports on labour rights, health & safety, environment, and business ethics. Key feature: provides a globally recognised ethical trade audit.</p>

Audit Standard	Purpose and audited reports distributed.
 <p>WRAP</p>	<p>Reports on legal compliance, labour practices, and health & safety measures. Key feature: certifies humane and ethical working conditions.</p>
 <p>BSCI</p>	<p>Reports on working hours, fair wages, and occupational health & safety in supply chains. Key feature: improves social compliance across global supply chains.</p>
 <p>OEKO-TEX® Standard 100</p>	<p>Reports on testing results for harmful chemicals in fabrics, dyes, and accessories. Key feature: certifies textiles are safe for human use.</p>
 <p>ZED Certification</p>	<p>Reports on product quality checks, waste reduction, and energy efficiency measures. Key feature: promotes zero defects in production and has no impact on the environment.</p>
 <p>Fairtrade Textile Standard</p>	<p>Reports on fair wages, safe working conditions, and ethical sourcing practices. Key feature: ensures fairness and sustainability in textile production.</p>

Table 7.1.6: Audit standards in the apparel sector

NON-CONFORMANCE / CORRECTIVE - PREVENTATIVE ACTION REPORT	
1) ORIGINATOR (please complete)	
Name _____	Position _____
<u>Report Type:</u> <input type="checkbox"/> Non-conformance / Corrective Action <input type="checkbox"/> Opportunity for Improvement / Preventive Action	
<u>Report Origin:</u> <input type="checkbox"/> Customer Feedback <input type="checkbox"/> In-house <input type="checkbox"/> Audit Finding	
Standard / Procedural Reference: _____ Responsible Function: _____	
Description of Non-conformance or Opportunity for Improvement request: (Please use reverse if more space is required)	
Responsible Authority: _____ Response Date: _____	
Originator's Signature _____ Date _____	
2) RESPONSIBLE MANAGER (please complete) – Proposed Action	
For Corrective / Preventive Action(s), please indicate:	
Root Cause of Problem	<u>Disposition</u> <input type="checkbox"/> Use-as-is <input type="checkbox"/> Rework <input type="checkbox"/> Scrap
Proposed Corrective / Preventive Action: _____	Proposed Completion Date _____
Responsible Manager's Signature _____ Date: _____	
Copy to QMR – QMR Signature _____ Date: _____	
3) RESPONSIBLE MANAGER – Completed Actions	
Description of Action(s) Taken:	
Completion Date _____	Responsible Manager's Signature _____
4) QUALITY ASSURANCE – Follow up	
Comments:	
Signature _____	Date _____

Fig. 7.1.12: Audit non-conformance report

- o **Interview Notes**
Capture worker and management insights to validate practices.

INTERNAL AUDIT PERSONNEL INTERVIEW QUESTIONNAIRE

Interviewee: _____

Position: _____

Interviewer: _____

Interview date: _____

Additional comments regarding interview: _____

Answers represent thoughts of the interviewee. Inform interviewee that information is confidential.

Fig. 7.1.13: Sample audit interview report

- **Audit Evidence**

Includes documents, records, and observations that substantiate findings.

- **Physical Observation**

Factory floor, equipment, and conditions are visually checked to confirm safety and compliance gaps.

Format no.:			
Inspection Location / Area		Date	
Inspection Team:			Signature
Checklist	C	NC	Observation

Fig. 7.1.14: Factory floor observation notes

- **Worker Interviews**

Workers share experiences to uncover hidden issues like wages, overtime, or harassment.

	EVP	Hiring	Onboarding	L&D	Performance and feedback	People management	Comp and ben
Effective							
Excellent experience							
Fit for scale							
Alignment to values and culture							
Focus area							
Priority							

Fig. 7.1.15: Worker interview records

o **Photographic Evidence**

Photos provide clear visual proof of compliance or violations during audits.

Today's Date	Date Acquired	Acquired from/Source	Approx. Size	Name/Description of Subject & Annotations

Fig. 7.1.16: Audit photographic record sheet

o **Operational Records**

Payroll, attendance, and production data confirm hours, payments, and practices.

Audit No.:			
Audit team:			
Site/section/function audited:			
Audit date:			
AUDIT FINDINGS			
Element	Code	Findings	CPA no.

Fig. 7.1.19: Components of an audit identification number

- **Chain of Custody**

Evidence collection is documented to maintain transparency and integrity for legal use.

CHAIN OF CUSTODY FORM			
Your Logo Here		Your Address Here	
[Agency Name] Case #: _____			
Item #	Date/Time Removed	Reason for Removal of Evidence	Signature

Fig. 7.1.20: Chain of custody form in factory audit

UNIT 7.2: Analysis and Classification of Audit Findings

Unit Objectives

By the end of this unit, the participants will be able to:

1. Explain how to ensure that all areas of compliance are thoroughly covered in the audit report.
2. Analyse the information gathered during the audit to assess conformance with the required standards.
3. Classify audit findings as conforming or non-conforming based on the audit checklist.
4. Identify various non-conformances in the audit checklist.
5. Discuss how to classify non-conformances into major, minor, or observations based on their significance.

7.2.1 Ensuring Complete Compliance Coverage in Reports

In a factory compliance audit for the apparel sector, the report must give a complete and accurate picture of both workplace practices and legal standards. A well-documented report ensures transparency, accountability, and trust between the factory, buyers, and regulators. The following are the stages of ensuring complete compliance coverage in reports:

Stage	Description
Systematic Checklist Use	The auditor conducts physical observation of factory floors, equipment, and conditions, verifying each compliance point against a standardised checklist. This ensures safety, legal, and ethical practices are covered in the report.
Documentation of Conformances	Positive findings such as proper safety gear, legal wage payments, or safe working conditions are recorded. This reflects worker interviews where employees confirm fair practices, showing that the factory is compliant in certain areas.
Evidence-Based Reporting	Each non-conformance (e.g., excessive overtime, missing safety guards) is supported by photographic evidence and operational records such as payroll or attendance sheets. This ensures findings are fact-based and credible.
Signature and Authorisation	All audit findings are validated with official signatures from auditors and factory management. This acknowledges both compliances and non-compliances, strengthening accountability.
Unique Identification Numbers	The report is assigned a unique audit ID that includes factory code, audit type, and date, enabling tracking and easy cross-referencing in future audits.

Stage	Description
Chain of Custody	Any physical or documentary evidence collected during the audit is recorded with details of handling. This maintains transparency and integrity of evidence for legal or buyer review.
Final Review and Validation	A senior auditor or compliance manager reviews the full report to ensure that every compliance area—from labour laws to environmental standards—has been covered, and the report is balanced, accurate, and fair.

Table 7.2.2: Audit compliance reporting process flow

7.2.2 Analysing Audit Information for Conformance

Analysing audit information for conformance means reviewing data to confirm that factory practices, documents, and worker behaviour match compliance standards. The factory compliance auditor in the apparel sector compares findings with laws, buyer codes, and international benchmarks, highlighting both strengths and gaps for an accurate report through the following stages:

- **Define and Weight Criteria**

Auditors establish a checklist of all requirements that the audited entity must meet. Each requirement is assigned a weight based on its importance. For example, a significant safety regulation might be weighted more heavily than a minor administrative detail.

- **Assign a Conformance Score**

For each item on the checklist, a score is assigned to reflect the degree of compliance with the help of a formula as shown below:

Audit conformance score formula and calculation

Example of Audit point: Needle Safety in Shirt Production. If the maximum possible score is 10 with a weight of 0.15, the formula for conformance score mapping is;

$$\text{Overall Score} = \frac{\sum (\text{Maximum Possible Score} \times \text{Weight})}{\sum (\text{Individual Item Score} \times \text{Weight})} \times 100$$

And the factory achieves a score of 9, then the weighted contribution becomes $(9 \times 0.15) = 1.35$. This forms part of the overall compliance score once combined with other audit

Fig. 7.2.1: Audit conformance scoring

Based on the value obtained in the calculation through the formula above, the following scores can be assigned:

- **Fully Conforming (FC)**
Meets the standard completely (e.g., 100% of the points).
- **Partially Conforming (PC)**
Meets some but not all of the standard (e.g., 50 points).
- **Non-Conforming (NC)**
Fails to meet the standard at all (e.g., 0 points).

- **Not Applicable (NA)**

The standard does not apply to this specific audited entity.

- **Calculate Weighted Score**

The conformance score for each item is multiplied by its assigned weight.

- **Determine Overall Score**

The weighted scores for all items are added together and then divided by the total possible points to get a final percentage or numerical score. This percentage is the overall conformance score, which can be translated into a letter grade or a rating (e.g., "Excellent," "Good," or "Needs Improvement").

7.2.3 Classifying Findings Using Audit Checklist

The audit checklist serves as the primary tool for categorising and structuring all audit findings. Using the checklist as a framework, auditors can systematically classify their observations into logical groups through the following stages:

- **Structured Organisation**

The checklist provides a pre-defined structure for the final report. Each section of the report should correspond to a section on the checklist, ensuring a logical flow from one topic to the next.

- **Categorisation of Observations**

Findings are classified according to the checklist's categories, such as "Health and Safety," "Working Hours," or "Environmental Compliance." This approach prevents findings from being presented randomly and ensures all relevant topics are addressed.

- **Simplified Reporting**

By using the checklist as a template, the auditor can streamline the reporting process. This method ensures that all necessary data points are included in the final report, from the specific requirement being audited to the evidence found.

This classification of audit findings is vital for organising the audit report, making it easy for readers to understand where the factory stands on each specific compliance requirement, as shown below in the template:

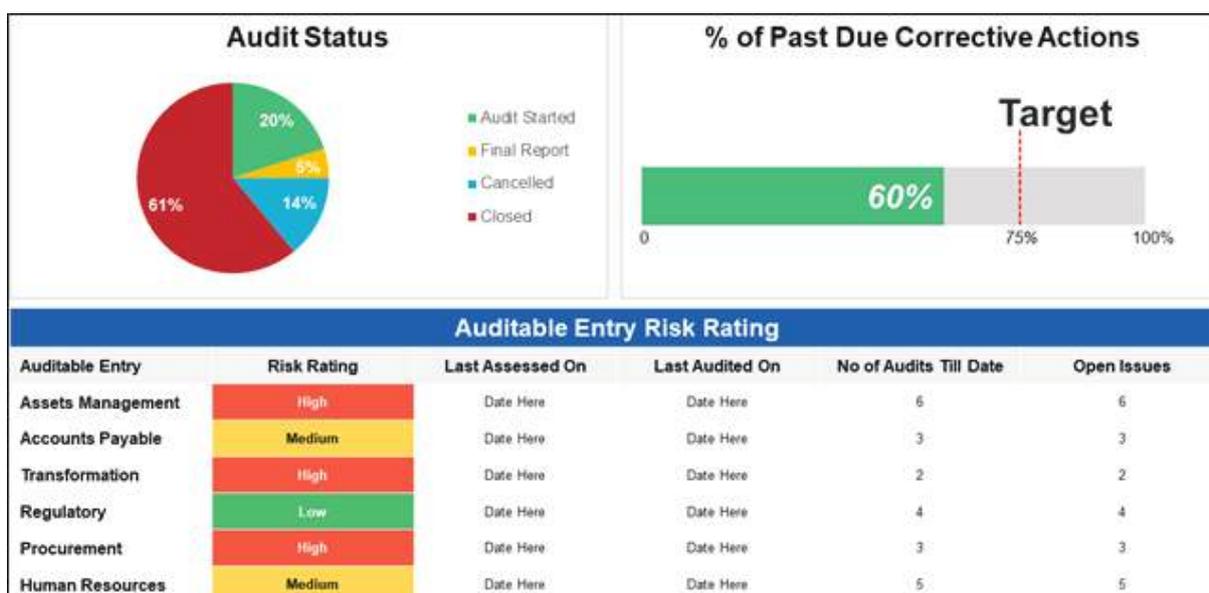


Fig. 7.2.2: Audit dashboard

7.2.4 Identifying Non-Conformances in Audit Checklist

Identifying a non-conformance involves noting a deviation from a required standard. During an audit, an auditor uses the scoring from the audit conformance score map mentioned in the previous section to check each requirement systematically. When an observation or piece of evidence does not align with a specific standard, it is marked as a non-conformance. This is a critical step that forms the basis for corrective actions and improvement plans.

- **Direct Comparison**

The auditor must directly compare the factory's actual practice or documentation with the exact wording of the standard on the checklist. A mismatch is a non-conformance. For example, if the standard requires sewing machines to be checked monthly, but the logbook shows a three-month gap, a non-conformance is identified.

- **Evidence-Backed Findings**

Every non-conformance must be supported by concrete evidence. The auditor should document the specific observation, take photos if appropriate, or note the details of a document or interview that proves the deviation from the standard.

- **Specific and Actionable Description**

The description of a non-conformance in the checklist should be specific. Instead of writing "poor safety," the auditor should write "fire extinguishers on the third floor were last inspected in May, contrary to the monthly inspection requirement." This detail is crucial for the factory to understand and correct the problem.



Fig. 7.2.3: Audit non-conformity identification stages

7.2.5 Classifying Non-Conformances by Significance Level

Not all non-conformances are equal. Classifying them by significance level is a crucial step that helps factory management prioritise their corrective actions. This process involves assigning a rating—typically minor, major, or critical—to each non-conformance based on the severity of its impact on workers' safety, legal compliance, or the environment.

Critical Non-Conformances

These are the most severe issues, representing an immediate danger or a significant violation of a fundamental standard. Examples include blocked fire exits, child labour, or active toxic spills. These require immediate and urgent corrective action.

- **Major Non-Conformances**

These are significant issues that do not pose an immediate threat but represent a severe systemic failure or a significant risk. Examples include a lack of a formal health and safety committee, incomplete training records, or missing permits.

- **Minor Non-Conformances**

These are minor deviations that do not pose a significant risk but still represent a failure to meet a standard. They are typically related to documentation errors or minor procedural lapses. An example might be an outdated poster or a form that is not completed correctly.

Non Conformities Raised: 1 Corrective Action Requests raised at this audit
Recommendation: Certify
Audit Findings:
1 - Sustainable Certification : Certification Requirements
1.1 - Confirmation of Certification scope, exclusions and system changes
The scope is confirmed as: Project and /or construction management for residential, industrial and commercial building, including ground up constructions, refurbishment or additions and interior fit out to existing buildings; project management, design management, installation, industrial, commercial and civil buildings.
Finding: Complies: Meets Requirements of the Standards
1.2 - Previously identified issues and improvements, including any outstanding NC-s
CAR's (Corrective Action Requests/Non Conformities Raised)

Fig. 7.2.4: Stages to classify audit non-conformances

Summary

- Documentation and reporting formats must be appropriately used during audits.
- Information collected in compliance audits should be evaluated carefully.
- Remarks and recommendations must be escalated to the correct department.
- Confidentiality of audit reports should always be maintained.
- A practical method of writing audit reports must be followed.
- The approved template should be used when preparing audit reports.
- The documentation formalities of auditing must be followed correctly.
- All compliance areas should be covered in the audit report.
- Information gathered during the audit should be analysed for conformance.
- Findings must be classified as conformance or non-conformance.
- Non-conformances should be identified using the audit checklist.
- Non-conformances must be classified as major, minor or observations.

Exercise

Multiple-choice Question:

1. Which of the following is essential when writing an audit report?
 - a. Using the approved template
 - b. Ignoring minor deviations
 - c. Skipping confidential details
 - d. Removing recommendations
2. What should be done with non-conformances identified during an audit?
 - a. Classified as per their severity
 - b. Ignored if minor
 - c. Reported only at the end of the year
 - d. Shared verbally without records
3. Why is confidentiality important in audit reports?
 - a. To save time in report writing
 - b. To protect sensitive information
 - c. To reduce audit costs
 - d. To avoid writing in detail
4. What is the purpose of analysing audit information?
 - a. To identify errors in the checklist
 - b. To assess conformance with requirements
 - c. To shorten the report writing process
 - d. To classify employees
5. Which of the following is a formal requirement of auditing?
 - a. Following documentation formalities
 - b. Using casual reporting methods
 - c. Skipping report writing
 - d. Avoiding escalation of remarks

Descriptive Questions:

1. Explain why audit documentation and reporting formats are essential.
2. Describe how information collected in an audit is evaluated.
3. Write about the importance of maintaining confidentiality in audit reports.
4. Explain how findings are classified as conformance or non-conformance.
5. Describe the process of classifying non-conformances into major, minor or observations.



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8. Record Keeping Procedures



Unit 8.1 - Documentation and Reporting Practices



AMH/N2202

Key Learning Outcomes



By the end of this module, the participants will be able to:

1. Describe the documentation framework followed in the organisation.
2. Follow the documentation and reporting formats of the organisation.
3. Prepare the report format.
4. Describe how to coordinate with another department for the audit.
5. Explain the method for record keeping.
6. Explain the guidelines for storing records.
7. Store the audit report so that it can be retrieved whenever required.
8. Maintain the audit report in a safe and secure condition.
9. Process of filing the audit report.
10. Explain the number of documents.

UNIT 8.1: Documentation and Reporting Practices

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe the documentation framework followed within the organisation.
2. Explain how to follow the documentation and reporting formats of the organisation.
3. Discuss the process of preparing the audit report format.
4. Describe the coordination process with other departments for the audit.
5. Elaborate on the method used for effective record keeping.
6. Outline the guidelines for storing records properly.
7. Illustrate how to store the audit report to ensure it can be retrieved when needed.
8. Discuss how to maintain the audit report in a safe and secure condition.
9. Describe the process of filing the audit report in accordance with organisational standards.
10. Explain the importance of managing the number of documents involved in the audit process.

8.1.1 Organisational Documentation Framework

For a factory compliance auditor in the apparel sector, an organisational documentation framework acts as a structured system to manage records such as safety protocols, worker policies, and production reports. It provides standardised templates, defined procedures, and centralised storage, making it easier to verify accuracy, consistency, and accountability during audits through the following tiers:

Tier	Stakeholders	Apparel Focus & Objectives	Function in Compliance Audit
Tier 1: Quality System Manual	Senior Management, Compliance Head, Buyers' Representatives	Ethical fabric sourcing, workplace safety, fair wages, and sustainable garment production.	Sets the top-level compliance framework with mission, policies, and standards.
Tier 2: Policies & Operating Procedures	Compliance Officer, HR Manager, Production Manager, EHS Team	Safe needle handling, chemical use, HR working hours, and fire safety protocols.	Provides rules and step-by-step methods for consistent practices.
Tier 3: Inter-Department Concerns & Records	HR Executives, Line Supervisors, QA Inspectors, Maintenance Staff, EHS Officers	HR-production overtime records, machine safety guards, QA stitching checks, dye/chemical monitoring.	Documents the coordination between departments to show compliance in operations.
Tier 4: Ad-hoc Docs, Forms & Tags	Line Workers, Floor Supervisors, Safety Wardens, Shift In-Charges	Needle replacement logs, defect tags, overtime slips, and fire drill sheets.	Shows real-time, day-to-day evidence of compliance on the floor.

Table 8.1.1: Factory compliance audit documentation framework

8.1.2 Documentation and Reporting Formats

For a factory compliance auditor in the apparel sector, following documentation and reporting formats ensures that audit findings, corrective actions, and compliance records are consistent, transparent, and traceable. Standardised formats improve clarity, simplify verification, and allow uniformity across different audit cycles.

- **Audit planning and checklists**

Plans are made for areas like cutting rooms, stitching lines, and dormitories, using detailed checklists to cover risks such as child labour, blocked exits, unsafe chemical handling, or missing safety logs.

AUDIT PROGRAMME OR PLAN TEMPLATE							
Client:							
Year end:							
Sr. No	Audit procedures	Timing	Extent	Responsibility		Signature	
				Auditor	Auditee	Auditee	Auditor
PREPARED BY & DATE			MANAGEMENT REPRESENTATIVE SIGNATURE				

Fig. 8.1.1: Audit planning template

- **Worker interviews and records**

Structured interviews with sewing operators, pressers, and warehouse staff capture issues like unpaid overtime, harassment, or excessive workload, ensuring worker voices are documented.

Candidate Name		Current Position		Current Department
Interviewer Name		Interview Date		Interview Start/End Time
Position Being Filled		Position Department		
Description of Position				
Date Available		Salary Requested		

What interests you about this new role?	
What experience in your current role can you bring to this new role?	
What's your proudest achievement in your current role?	
Describe an instance when you didn't achieve an objective and what you would have done differently.	
Have you ever experienced conflict with a colleague? How did you handle it?	
What do you think is key for successfully collaborating with colleagues?	
What do you like best about working for the company?	
What suggestions do you have for improving company culture?	

Fig. 8.1.2: Worker interview record template

- Audit reports and corrective actions**

Reports highlight both good practices (e.g., PPE use in dyeing) and non-compliances (e.g., overcrowded dorms). Corrective Action Plans assign responsibilities, set deadlines, and ensure issues like PPE shortages are resolved.

<ul style="list-style-type: none"> • Audit Session: _____ 			
Examination Details			
<ul style="list-style-type: none"> • Checked Departments: _____ • Notable Findings: _____ 			
Compliance Table			
Department	Compliance	Issues	Corrective Measures

Fig. 8.1.3: Audit CAP report sample template

Name of Employee Trained	Date Employee Trained	How Training Occurred	What Specific Subject(s)	Trained By
Le Joe Employee	1/1/2014	On computer	How to Complete SAR	Mary Compliance Officer

Fig. 8.1.6: Training and audit integration log sample template

8.1.3 Preparing Audit Report Format Process

Preparing an audit report in an apparel factory requires a structured workflow to ensure the final report is accurate, complete, and aligned with buyer or regulatory standards. The report not only documents non-conformances but also provides actionable steps for remediation and continuous improvement. The following are the stages of preparing the audit report format:

Stage	Action
Data Aggregation	The auditor gathers all audit information, including stitching and finishing line checklists, interview notes from sewing operators and packing staff, and photographic evidence of blocked fire exits or improper chemical storage in dyeing units.
Drafting Findings	The auditor categorises each observation as a conformance or non-conformance, such as proper PPE usage in garment washing sections versus missing needle guards in sewing machines, and supports each point with factual evidence.
Developing Recommendations	The auditor proposes practical corrective actions for each non-conformance, such as installing needle guards on sewing machines within two weeks or providing certified gloves for handling bleach, along with specific measurable timelines.
Finalising the Report	The auditor organises all findings and recommendations into the approved report template, proofreads for clarity and accuracy, and obtains signatures from the lead auditor and factory management to validate the report.

Table 8.1.2: Audit report preparation steps

8.1.4 Coordinating with Departments for Audit

A factory compliance auditor in the apparel sector coordinates with multiple departments to ensure all areas are prepared for the audit, including production, HR, EHS, and quality teams. They communicate audit objectives, schedule inspections, and clarify documentation requirements to ensure smooth data collection. This coordination helps the auditor obtain accurate information, observe real practices, and verify compliance across all factory operations. The following are the departmental coordination functions that a factory compliance auditor must ensure and follow:

Tier	Stakeholders (Apparel Sector)	Role & Function of Auditor
Tier 1: External Providers	Fabric suppliers, dyeing units, subcontract stitching providers, certification agencies.	The auditor communicates audit requirements, schedules inspections, and shares checklist expectations with third-party suppliers, subcontractors, or certification bodies to ensure upstream compliance.
Tier 2: Internal Audit	Internal auditors, QA teams, production supervisors, safety officers	The auditor coordinates with internal audit teams to review documentation, validate departmental compliance, and plan internal checks before the official audit.
Tier 3: Management	Factory Manager, HR Manager, Production Manager, EHS Manager	The auditor liaises with factory management to obtain approvals, align on audit scope, schedule access to production lines, and clarify reporting expectations.
Tier 4: Government Bodies	Ministry of Labour & Employment officials, local labour inspectors, and fire and safety inspectors	The auditor ensures regulatory compliance by coordinating with government inspectors and providing required documentation or access as per labour and safety laws.

Table 8.1.3: Audit department coordinating stages

8.1.5 Effective Record Keeping Method Used

For a factory compliance auditor in the apparel sector, effective record keeping ensures all audit-related documents are systematically organised, easily accessible, and securely stored. This enables faster verification, reduces the risk of data loss, and demonstrates consistent compliance with labour laws, buyer requirements, and safety standards. The following are the stages of adequate record keeping:

- **Categorical Filing**

The auditor organises documents into clear categories such as "Stitching Line Safety," "HR Policies and Attendance," "Chemical Handling Records," and "Environmental Compliance Permits." This allows quick retrieval of specific records during audits of sewing, finishing, or dyeing units.



Fig. 8.1.7: Categorical filing system

- **Sequential Numbering**

Each audit document, non-conformance report, and corrective action plan is given a unique ID to enable efficient tracking and referencing across multiple garment production audits. These IDs can be automatically generated using compliance software like Tally Solutions, or commonly used in India's apparel sector.

Fig. 8.1.8: Audit number generation through software

- **Clear Naming Conventions**

The auditor uses standardised file names to convey the document type, department, and date instantly. This ensures anyone reviewing the records—whether internal teams, buyers, or regulators—can quickly understand the content without opening every file. The following table shows the different naming conventions in audit reports:

Type of Audit	Naming Convention	Standard Name	Explanation
Health & Safety Audit	HSA_Denim_2025_Q2	Factories Act, 1948	Evaluates safety measures in sewing lines, finishing units, washing plants, and storage areas. Checks PPE usage, fire safety, and accident prevention protocols.
Labour Compliance Audit	LCA_Denim_2025_Q2	SA8000 / Buyer Code	Assesses adherence to working hours, wages, child labour restrictions, grievance handling, and overtime policies. Includes worker interviews and payroll review.
Environmental Compliance Audit	ECA_Denim_2025_Q2	ISO 14001:2015	Checks proper handling, storage, and disposal of chemicals in washing and dyeing units. Evaluates sustainability measures and environmental risk mitigation.
Quality & Production Audit	QPA_Denim_2025_Q2	ISO 9001:2015	Reviews production processes, stitching quality, defect rates, and adherence to buyer specifications. Ensures consistency in garment quality and operational efficiency.

Table 8.1.4: Factory audit standard naming conventions

8.1.6 Guidelines for Proper Record Storage

Proper record storage is about more than just filing documents; it's about following guidelines to ensure their security, integrity, and long-term viability. These guidelines are essential for maintaining a reliable audit trail and protecting sensitive information. Both physical and digital records require specific protocols to be stored correctly.

Record Management Aspect	Description
Secure Location	All records must be kept in a secure place; physical files in locked cabinets or rooms, and digital files on password-protected servers or cloud storage with access controls.
Organised Filing	Records should follow a logical filing system, such as chronological or categorical order, to prevent misplacement and enable quick retrieval.
Controlled Access	Access is limited to authorised personnel only, with clear guidelines on who can view, edit, or remove documents, and a log maintained for tracking access.
Backup and Archiving	Digital records should be backed up regularly, and both physical and digital records should follow a defined archiving policy, including secure disposal when retention periods end.

Table 8.1.5: Factory audit record management practices

8.1.7 Storing Audit Report for Retrieval

Storing an audit report for retrieval involves establishing a straightforward process to ensure that the report can be found quickly and easily whenever it is needed. A well-organised storage system is crucial for follow-up audits, for proving compliance to stakeholders, and for internal reference.

Audit Record Management Aspect	Description
Centralised Database	All audit reports should be stored in a central database or designated server folder to keep them organised and prevent scattering across departments.
Consistent Naming	Consistent Naming Reports must follow a uniform naming format, including factory name, audit date, and audit type (e.g., "FactoryX_Social_Audit_2024-08-14"), for easy search and retrieval.
Indexing and Tagging	Indexing and Tagging Digital reports should be indexed with relevant keywords and tags to enable quick searches based on criteria like "safety non-conformance" or "working hours."

Table 8.1.6: Audit report management system

8.1.8 Maintaining Audit Report Safely and Securely

Maintaining the security of an audit report is of utmost importance due to the sensitive nature of the information it contains. The report includes details about factory performance, non-compliances, and corrective actions, all of which are confidential and proprietary. A robust security protocol is necessary to prevent unauthorised access, tampering, or loss through an audit safety checklist:

Security Aspect	Action
Access Control	Access Control: Ensure audit reports are stored securely so only authorised personnel, such as compliance officers or management, can access them, using passwords, server permissions, or locked cabinets.
Encryption	Encryption: Verify that all digital audit reports are encrypted, especially when shared with buyers or stored in cloud systems, to protect sensitive information about workers and factories.
Regular Audits	Regular Audits Periodically review and test the factory's report security protocols to ensure effectiveness and prevent data breaches or unauthorised access.

Table 8.1.7: Audit report security measures

8.1.9 Filing Audit Report per Standards

Filing an audit report per standards means following a predefined set of rules and protocols to ensure that the report is organised correctly. These standards can be set by the organisation itself, a regulatory body, or an external auditing firm. This practice ensures consistency, simplifies retrieval, and guarantees that the company is meeting its legal and contractual obligations for record-keeping. In India, the Ministry of Labour and Employment looks after regulations related to workplace compliance, record-keeping, and filing of audit reports for factories under laws like the Factories Act, 1948.

Filing Aspect	Action	Filing Aspect
Adherence to a Standardised Structure	Each audit report in the apparel factory should be stored in a designated folder or digital database, and a consistent filing structure should be maintained to prevent misplacement and allow easy retrieval.	Adherence to a Standardised Structure
Inclusion of Supporting Documents	The audit report should be filed along with all relevant documents, such as checklists for sewing and finishing lines, photographic evidence of non-compliances, worker interview notes, and corrective action plans, to ensure a complete audit trail is maintained.	Inclusion of Supporting Documents
Compliance with Retention Policies	All reports and supporting records should be stored in accordance with the factory's document retention policy, ensuring accessibility for the required period for audits, buyer reviews, or regulatory inspections.	Compliance with Retention Policies

Table 8.1.8: Audit report filing parameters

8.1.10 Managing Audit Process Document Volume

Managing the volume of documents generated during the audit process is a significant challenge. A single audit can produce hundreds of pages of documentation, from checklists and interview notes to photographic evidence and corrective action plans. An effective management strategy is needed to prevent this volume from becoming overwhelming and to ensure that all documents remain organised and accessible.

Filing Aspect	Action
Digital-First Approach	A digital-first system should be implemented, where audit documents, checklists, and evidence are stored electronically using a centralised document management system to reduce physical paperwork and allow easy searching and sharing.
Systematic Organisation	All records should be organised in a clear and logical structure, using standardised naming conventions and folder hierarchies that reflect the audit workflow, ensuring consistency and easy retrieval.
Periodic Archiving and Disposal	Older audit records and documents that have exceeded their retention period should be archived or securely disposed of according to the factory's policy, preventing clutter and maintaining an efficient document management system.

Table 8.1.9: Audit filing management practices

Summary

- A documentation framework helps in keeping records organised in the workplace.
- Employees must follow the reporting formats given by the organisation.
- Reports should be prepared in a clear and standard format.
- Coordination with other departments is required during audits.
- Proper record keeping ensures accuracy and accountability.
- Guidelines must be followed for storing records safely.
- Audit reports must be stored for easy retrieval whenever required.
- Reports should always be maintained safely and securely.
- Filing of audit reports must be done in accordance with workplace procedures.
- Records should be updated and processed in a timely manner.
- Document management ensures smooth audits and compliance.
- Correct record keeping supports transparency in the organisation.

Exercise

Multiple-choice Question:

1. What is the primary purpose of a documentation framework?
 - a. To create confusion in reports
 - b. To keep records organised
 - c. To reduce teamwork
 - d. To avoid communication
2. Why is it essential to follow reporting formats?
 - a. To maintain uniformity
 - b. To save personal time
 - c. To avoid using documents
 - d. To reduce the number of employees
3. What ensures that audit reports can be retrieved when needed?
 - a. Improper filing
 - b. Secure and organised storage
 - c. Avoiding record keeping
 - d. Ignoring procedures
4. Which department should be coordinated with during audits?
 - a. Only the HR department
 - b. Any relevant department
 - c. No department is needed
 - d. Customer service only
5. What is the benefit of proper record keeping?
 - a. It increases errors
 - b. It supports accountability
 - c. It reduces compliance
 - d. It hides transparency

Descriptive Questions:

1. Describe the documentation framework of an organisation.
2. Explain why standard report formats are essential.
3. Discuss strategies for coordinating with other departments during an audit.
4. Describe the process of filing an audit report.
5. Explain how proper storage of records helps in retrieval.

9. Check Compliance with Product Quality Standards



Unit 9.1 - Quality Standards and Process Control

Unit 9.2 - Quality Control and Audit Procedures



Key Learning Outcomes

By the end of this module, the participants will be able to:

1. Describe buyers' requirements in terms of quality standards and inspection methodologies.
2. Describe the organisation's tools, templates and processes for recording and monitoring process confirmation and deviations.
3. Describe raw material components and their specifications.
4. Describe checkpoints where quality control has been exercised in consultation with the immediate supervisor.
5. Describe test reports, critical and non-critical defects.
6. Describe procedural understanding of product specification and tech packs; reference sample; approved samples; and reports and compliances.
7. Describe reference samples and tech packs.
8. Ensure that the standards have been clearly understood and seek confirmation of the same.
9. Explain reporting procedures, formats and their periodicity required in the organisation.
10. Record data of material issued and received from the vendor.
11. Explain inspection and quality control procedures.
12. Maintain the reference samples and reference manuals in accessible and good condition.
13. Analyse the product protocol with a reference sample to evaluate if the instructions and specifications given in the protocol have been followed.
14. Communicate to all concerned the relevant standards with reference to the product protocol.
15. Explain the procedure to carry out quality control/quality assurance processes.
16. Evaluate the fabric/accessories/quality reports tested internally or externally.
17. Describe the final quality audit procedures.
18. Communicate proactively if the systems are not producing the desired outcome.
19. Explain the concepts of statistical process control and statistical quality control.

UNIT 9.1: Quality Standards and Process Control

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe buyers' requirements in terms of quality standards and inspection methodologies.
2. Discuss the organisation's tools, templates, and processes for recording and monitoring process confirmation and deviations.
3. Explain raw material components and their specifications.
4. Elaborate on the checkpoints where quality control has been exercised in consultation with the immediate supervisor.
5. Describe test reports, critical and non-critical defects.
6. Discuss procedural understanding of product specifications, tech packs, reference samples, approved samples, and related compliance reports.
7. Explain the importance of reference samples and tech packs in maintaining product quality.
8. Illustrate the process of ensuring that the standards are clearly understood and how to seek confirmation of the same.
9. Describe reporting procedures, formats, and their periodicity required in the organisation.
10. Outline the process of recording data of material issued and received from the vendor.

9.1.1 Buyers' Quality Standards and Inspection

Buyers' quality standards are the specific requirements a purchasing company sets for the products it sources from a factory. These standards can cover everything from material quality and durability to product dimensions and performance. Inspections are formal processes used to verify that products meet these standards. Buyers often conduct inspections at various stages, such as before production begins (pre-production), during the manufacturing process (in-line), or on the finished goods before shipment (final inspection).

Buyer Inspection Aspect	Action area
Defining the Requirements	All buyer-provided specifications, tech packs, and quality guidelines are ensured to be understood and documented before production begins.
Inspection Process	Factory readiness for inspections is facilitated and coordinated, ensuring that all production lines, garments, and supporting documents are made available for review.
Acceptance Criteria	Inspection results are verified and recorded accurately, with approved, reworked, or rejected garments noted, and corrective actions are ensured to be implemented as required.

Table 9.1.1: Buyer inspection audit roles

9.1.2 Organisation's Monitoring Tools and Processes

An organisation's monitoring tools and processes are the internal systems used to ensure quality control and compliance throughout the production cycle. These tools help a factory to proactively manage quality rather than just reacting to defects found by the buyer. By implementing effective monitoring, a factory can improve its efficiency, reduce waste, and increase the likelihood of passing buyer inspections.

Process Monitoring Aspect	Action Area
Checklists and Forms	Internal checklists and forms are ensured to be completed and documented for every production step, verifying that each stage of garment manufacturing and quality checks is properly followed.
Statistical Process Control (SPC)	Statistical methods are applied to monitor production processes, with data charted and trends analysed to prevent defects and ensure consistent garment quality.
Continuous Improvement	Monitoring data is used to feed into continuous improvement cycles such as PDCA, ensuring that areas for process enhancement are identified and implemented in subsequent production runs.

Table 9.1.2: Process monitoring action areas

9.1.3 Raw Material Components and Specifications

The factory compliance auditor in the apparel sector verifies that raw material components meet specified quality standards by reviewing raw material specification sheets and ensuring they comply with production and safety requirements.

Format No.		Rev. #		Rev. Date			
Raw material Control sheet # _____		Date _____					
Raw material Name			Raw material Description				
Specifications						Supplier	
Date received	Product Code	Batch Code	Purchase Order #	Appearance	Acceptable Level	Achieved Level	Remarks

Fig. 9.1.1: Raw material specification sheet

The following are the stages of checking up on raw material components before making them into an audit report:

Raw Material Aspect	Action Area
Component Identification	Each raw material is clearly described, such as "100% cotton fabric, 200 GSM" or "YKK brand zipper, 5mm teeth," to ensure proper identification and traceability.
Specification Parameters	Specific quality parameters for each component, like colour fastness, shrinkage rate, thread count for fabrics, or durability and finish for hardware, are verified against standards.
In-Coming Inspection	All raw materials are inspected upon arrival to confirm they meet the specified criteria before being used in the production line.

Table 9.1.3: Raw material compliance

9.1.4 Quality Control Check Points Exercised

Quality control checkpoints are inspection stages in production that catch defects early, saving time, resources, and reducing the number of final rejections. The factory compliance auditor in the apparel sector ensures that these checkpoints, such as stitching accuracy, seam strength, colour consistency, and fabric defects, are correctly implemented and documented. They review inspection records, verify corrective actions for non-conformances, and confirm that the quality standards align with buyer requirements and regulatory guidelines. The following are the stages of quality control check-points:

Production Checkpoint	Action Area
In-Line Inspection	Checks are performed during production, such as verifying stitching after the sewing stage or print quality after the printing stage, to catch defects early.
Mid-Production Audit	A full audit is conducted on a sample of partially completed garments, identifying systemic issues in the production process and ensuring corrective measures are applied.
Final Inspection	The final check is conducted before packing, ensuring that the finished garments meet all buyer specifications, quality standards, and compliance requirements.

Table 9.1.4: Production quality checkpoints

9.1.5 Test Reports and Defects

Test reports document the results of quality tests on products or materials, highlighting any deviations from standards. The test report serves as official evidence of a product's performance and is crucial for verifying compliance and identifying areas for improvement through a test report detecting sheet:

Status From Date: ____/____/____ To Date: ____/____/____												
Date	Unit	Product ID	Customer	P.O. No & Date	Job Order No	J.O. Date	Process	Qty	Accepted	Rejected	Inspection Record No. & Date	Inspection Test Conducted

Fig. 9.1.2: Test report and defect reporting format

The following are the stages of documenting the test reports and defects for the factory compliance audit process:

Test Report Aspect	Action Area
Types of Tests	Physical, chemical, and dimensional tests are conducted as per buyer requirements, such as strength, colourfastness, and measurements, to verify product quality.
Defect Categorisation	Defects are classified as critical, major, or minor, indicating safety risks, functional issues, or minor deviations, helping prioritise corrective actions.
Actionable Information	Results from tests guide corrective measures, such as replacing a batch of fabric that fails colourfastness or adjusting the dyeing process to meet standards.

Table 9.1.5: Product test reports

9.1.6 Procedural Understanding of Product Specifications

A thorough procedural understanding of product specifications ensures all manufacturing personnel, from designers to inspectors, know the requirements and correct processes through a product specification sheet. This knowledge is vital for translating buyer standards into a consistent production process.

Product Description:		
Responsible Person		
Process/Activity	Procedure requirements	Observations
Verified By:		Signature:

Fig. 9.1.3: Product specification sheet

The factory compliance auditor ensures that all workers are trained on product specifications and that technical details are clearly communicated to relevant teams. They also verify that SOPs are followed correctly and provide feedback to address any deviations, maintaining consistent quality and compliance.

Product Specification Aspect	Action Area
Training and Communication	All employees are trained on the specific requirements of each product, and technical specifications are clearly communicated to all relevant teams to ensure a consistent understanding.
Standard Operating Procedures (SOPs)	Product specifications are converted into step-by-step SOPs, which workers follow to maintain uniformity and quality in every product.
Verification and Feedback	A system is implemented to verify adherence to SOPs and provide feedback to workers if deviations occur, ensuring continuous compliance with product standards.

Table 9.1.6: Product specification management

9.1.7 Importance of Samples and Tech Packs

Samples and tech packs provide the foundation for product development, with tech packs detailing specifications and samples ensuring the final product meets the buyer’s expectations.

- **Techpack**

The Tech Pack is a detailed product blueprint that ensures standardisation and accuracy, and auditors use it to verify compliance with buyer specifications and regulations.

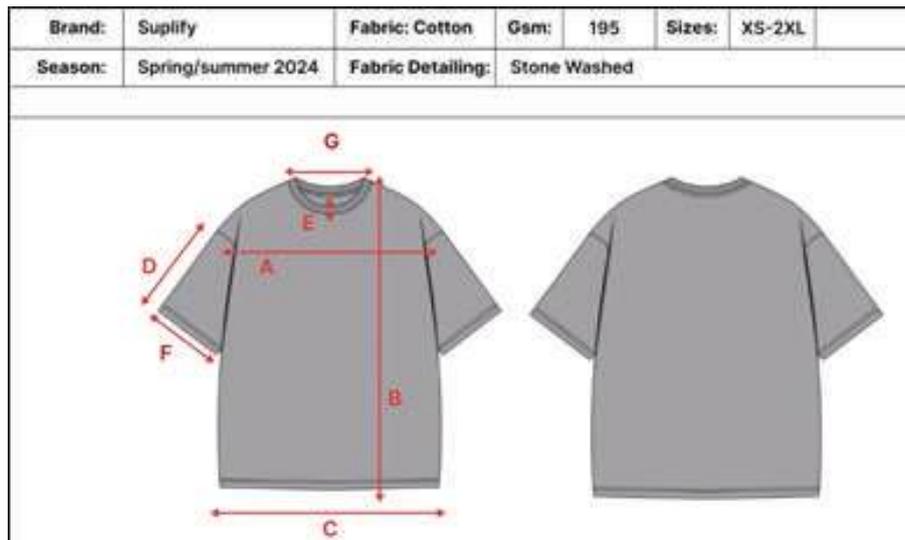


Fig. 9.1.4: Techpack

- **Samples**

Samples are the physical representation of the Tech Pack, showing the fit, fabric, and design of the garment. For a factory compliance auditor, they are essential to confirm buyer approval, assure quality, and ensure consistency throughout production. The following are the different kinds of samples and their importance in factory compliance audit:

- **Proto Sample**

The first version of a garment is checked to verify that it aligns with the tech pack specifications, allowing early detection of design or construction deviations.



Fig. 9.1.5: Proto-sample

- **Fit Sample**

This sample is used to ensure that sizing, shape, and comfort meet approved standards, and auditors check that patterns and grading comply with requirements.



Fig. 9.1.6: fit sample

- **Pre-Production Sample (PPS)**

Created using production materials, this sample enables auditors to verify that manufacturing processes maintain compliance before mass production commences, thereby reducing the risk of non-conformance.



Fig. 9.1.7: Pre-production sample

- **Size Set Sample**

Includes all sizes offered to ensure consistency of fit, with auditors checking that grading rules and size standards are correctly applied across the range.



Fig. 9.1.8: Size set sample

- **Top-of-Production (TOP) / First Production Sample**

Taken from the first batch of production, this sample confirms that materials, quality, and specifications match approved standards, enabling auditors to validate compliance in full-scale manufacturing.



Fig. 9.1.9: Top-of-Production (TOP) / First Production Sample

o **Sales / Marketing Sample**

Garments prepared for buyer approvals or marketing are reviewed to confirm they meet quality and specification standards, serving as audit evidence for approval processes.

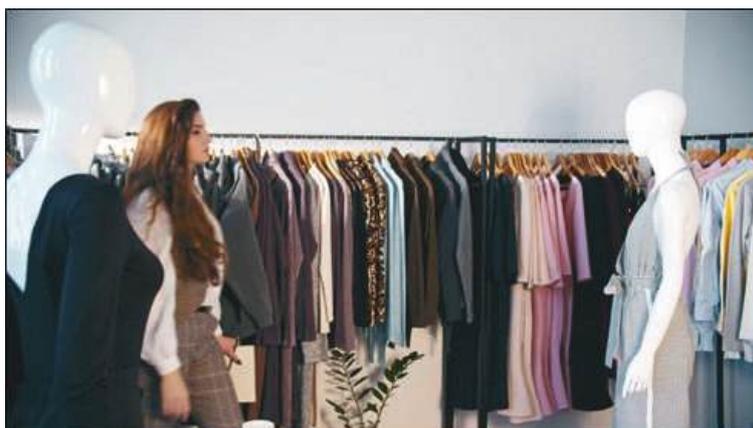


Fig. 9.1.10: Sales/Marketing sample

9.1.8 Process to Confirm Standards

In an apparel factory, confirming standards ensures products meet buyer specifications and regulatory requirements, with a compliance auditor following a structured process to verify materials, production, and procedures.

- **Using the Bill of Materials (BOM)**

The auditor reviews the bill of materials to ensure all fabrics, trims, and components are approved and match the tech pack in quantity and specifications.

Claim/ Complaint Description :	

Inspection Details/ Observation :	
Inline 1	_____

Inline 2	_____

Prefinal	_____

Final	_____

Evaluation :	
QC	_____

Factory	_____

QC Head	_____

BU Head	_____

Fig. 9.1.12: Sample evaluation report

- **Monitoring Production Processes**

The auditor observes the production lines to confirm that SOPs are being followed. This includes checking stitching quality, seam allowances, wash processes, embroidery placement, and finishing standards.

- **Conducting In-Line and Final Inspections**

In-line inspections are performed during production to catch defects early, while final inspections check that finished garments meet all buyer specifications and quality standards.

- **Compliance Documentation**

All records, such as checklists, inspection logs, test reports, and corrective action plans, are reviewed to ensure proper documentation of standards adherence.

- **Reporting Findings and Recommendations**

The auditor prepares a detailed audit report highlighting conformances, non-conformances, and actionable recommendations. Corrective action plans are suggested with timelines to address any deviations from standards.

Format No.:		
Procedure No.	Procedure Verification Code / Number	Date of verification started
Purpose of Verification		
Methods are used for verification		Frequency of verification
Product:		
Product Description:		
Responsible Person		
Process/Activity	Procedure requirements	Observations
Verified By:		Signature:

Fig. 9.1.14: Reporting procedures and format checklist

9.1.10 Process of Recording Material Data

Recording material data is the systematic process of documenting all information about the raw materials used in production through an inventory count sheet. This includes details about the supplier, a unique lot number, and the results of any incoming inspections or tests. Accurate material data recording is essential for traceability and for ensuring that the final product is made from the specified and approved materials.

UNIT 9.2: Quality Control and Audit Procedures

Unit Objectives

By the end of this unit, the participants will be able to:

1. Explain the inspection and quality control procedures within the organisation.
2. Discuss how to maintain reference samples and manuals in an accessible and good condition.
3. Analyse the product protocol with reference to a sample to evaluate if the instructions and specifications have been followed.
4. Describe the process of communicating the relevant standards with reference to the product protocol to all concerned parties.
5. Explain the procedure to carry out quality control/quality assurance processes.
6. Evaluate the fabric, accessories, and quality reports tested both internally and externally.
7. Describe the final quality audit procedures and their significance.
8. Illustrate the importance of proactive communication if the systems are not producing the desired outcome.
9. Explain statistical process control and statistical quality control methodologies.

9.2.1 Inspection and Quality Control Procedures

For a factory compliance auditor, inspection and QC procedures are crucial checkpoints that verify apparel products meet buyer standards and regulatory requirements. Inspections look for defects at different stages, while quality control systems prevent them from occurring, ensuring consistent quality and customer satisfaction. The following table outlines the stages of quality audit inspection:

Aspects	Quality control procedures
In-Coming Inspection	Raw materials are checked against specifications to prevent the introduction of non-compliant inputs.
First-Piece Inspection	The first garment produced is examined in detail to ensure all specifications are met, and it is used as a benchmark for subsequent production.
Pre-shipment Inspection	Finished goods are assessed before packing and shipping to confirm compliance with quality standards and order details.
Mid-Production Inspection	An audit is conducted during the production run to identify and address quality issues before large numbers of defects occur.
In-Line Inspection	Ongoing production is monitored, and stitching, seams, or printing quality are reviewed at set intervals.
Final Inspection	A comprehensive check is conducted on finished garments before shipment.
Corrective Action	Corrective steps are documented and implemented whenever issues are identified and addressed.

Table 9.2.1: Quality audit inspection stages

9.2.2 Maintaining Reference Samples

For a factory compliance auditor, reference samples act as the benchmark for quality, ensuring that all mass-produced apparel aligns with the buyer's approved design. Proper storage, handling, and use of these samples help maintain consistency in production and safeguard against deviations. The following table shows the stages of maintaining sample references:

Aspects	Reference sample maintenance procedures
Secure Storage	Samples are kept in a clean, safe, and controlled space so that damage, fading, or alteration is avoided.
Labelling and Dating	Samples are marked with buyer details, style number, and approval date so that mix-ups during production are prevented.
Controlled Access	Samples are handled only by authorised personnel such as QC staff and managers, reducing the risk of loss or misuse.
Master Sample Use	One approved "master sample" is used as the standard for all checks so that uniformity across production runs is maintained.
Random Sample Inspection	Samples are randomly selected from different production lots to confirm consistent quality across the entire batch.
Pre-Production Meeting (PPM)	A meeting is conducted to align on all technical and quality details before mass production begins, preventing costly errors.
In-Line Quality Control	Checks are implemented during the production process so that defects are caught and corrected early, minimising waste and rework.
In-Coming Inspection	Raw materials are checked against specifications so that non-compliant inputs are blocked.
First-Piece Inspection	The first garment produced is examined in detail to ensure specifications are met, and it serves as a benchmark for subsequent production.
Pre-shipment Inspection	Finished goods are assessed before packing and shipping so that compliance with quality standards and order details is ensured.
Mid-Production Inspection	An audit is conducted during the production run so that quality issues are identified and addressed before large numbers of defects occur.
In-Line Inspection	Ongoing production is monitored, and stitching, seams, or printing quality are reviewed at set intervals.

Table 9.2.2: Sample reference maintenance stages

9.2.3 Product Protocol Analysis with Sample Reference

Auditors compare a factory's production protocols with the approved sample to ensure that procedures lead to identical outcomes. This bridges the gap between product design and bulk manufacturing. The following table shows the stages of product protocol analysis:

Aspects	Product Protocol Checks
Detailed Comparison	Technical sheets, measurements, stitching, and finishing are matched against the approved sample.
SOP Alignment	It is ensured that SOPs clearly reflect specifications from the sample, such as stitch type or hem details.

Aspects	Product Protocol Checks
Verification	It is checked whether machines, setups, and worker training align with the requirements of the reference sample.
Corrective Actions	Mismatches between protocol and sample are identified, and updates to SOPs or worker retraining are recommended.
Pre-Production Meeting (PPM)	The approved sample is reviewed by all parties in a crucial first step to align on technical details, quality standards, and potential production challenges before manufacturing begins.
Pilot Run Review	A small-scale production run of a new style or product is carried out to identify and solve potential issues in the manufacturing process before scaling up.
First-Piece Inspection	The very first item off the production line is given a detailed examination to ensure it matches the master sample and all specifications.
In-Line Inspection	Continuous monitoring of production at various stages is conducted to catch and correct defects early in the process.
Mid-Production Audit	A comprehensive check is conducted during the production run to ensure consistency and compliance across the entire batch.
Final Random Inspection (FRI)	A final assessment of a randomly selected sample of finished goods is carried out, typically when 100% of the order is complete, to verify overall quality before shipment.
Follow-up action	A follow-up procedure is performed to ensure that all identified defects are addressed, documented, and prevented from recurring in future production.

Table 9.2.3: Product protocol analysis stages

9.2.4 Communicating Relevant Standards to Parties

Clear communication of standards ensures that everyone—inside and outside the factory—follows the exact quality expectations, avoiding errors and delays. The following table shows the components of communication relevant standards to parties and stakeholders:

Aspects	Communication Practices
Internal Communication	Standards are shared with production, QC, and management teams using meetings, charts, and technical sheets.
External Communication	Suppliers of raw materials and trims are informed about the required specifications before supply.
Clear Language	Simple words, visuals, and approved samples/tech packs are used to explain product requirements.
Buyer Clarifications	Buyer confirmation is sought on unclear specifications, and all agreements are documented to avoid disputes.
Corrective Action Sharing	Audit findings and required corrective steps are communicated clearly to supervisors and workers.

Aspects	Communication Practices
Training Reinforcement	Line staff are guided through awareness sessions or toolbox talks to ensure compliance with standards.
Record Keeping	Communication records, such as emails, meeting notes, and corrective action logs, are appropriately maintained and traceable.
Feedback Loop	Responses are collected from production teams and suppliers to verify that communicated standards are understood and applied.

Table 9.2.4: Communication practices for auditors

9.2.5 Procedure to Carry Out Quality Control

As a factory compliance auditor, it is ensured that quality control is a proactive and integrated process throughout apparel production. A structured approach is used to verify that standards are met at every stage, so that issues are prevented before they become widespread. The table that follows shows the procedure to carry out quality control:

Aspects	QC Procedures
Pre-Production	The buyer's tech pack and sample are reviewed, and meetings are conducted to align all teams before production.
In-Process Checks	Garments are inspected at set intervals (e.g., hourly), and any defects are documented for early correction.
Mid-Production Audit	Partially completed goods are assessed to identify systemic issues before the whole run is completed.
Final Random Inspection	Statistically chosen finished garments are inspected to verify overall compliance before shipment.
Incoming Material Check	Fabrics, trims, and accessories are verified against buyer-approved standards before they enter production.
Packing and Labelling Audit	Packaging materials, labelling accuracy, barcodes, and carton quality are checked before dispatch.
Post-Production Review	Audit findings are evaluated, compliance levels are recorded, and corrective actions are recommended for continuous improvement.

Table 9.2.5: Quality control process

9.2.6 Fabric, Accessories, and Quality Reports Evaluation

Auditors verify that factories use approved materials and maintain effective monitoring systems through fabric/accessory checks and report reviews. The table that follows shows the parameters of evaluating reports on fabric, accessories, and miscellaneous quality reports:

Aspects	Evaluation Procedures
Fabric & Accessories	Fabric weight, colour, feel, and trims (buttons, zippers, and labels) are inspected for buyer compliance.
Quality Reports	The factory's inspection records, in-line checks, and audits are reviewed for accuracy and proper corrective follow-up.
Traceability	It is ensured that finished goods can be traced back to specific raw material batches.
Supplier Compliance	It is confirmed that materials are sourced from buyer-approved and compliant suppliers.
Lab Testing Verification	Third-party lab test reports for colourfastness, shrinkage, and durability are cross-checked against buyer standards.
Storage Condition Check	Fabric and accessory storage areas are inspected for cleanliness, humidity control, and proper labelling.
Non-Conformance Handling	How the factory manages rejected or non-conforming fabric and trims is reviewed, ensuring proper documentation and corrective steps are taken.

Table 9.2.6: Fabric and accessories evaluation parameters

9.2.7 Final Quality Audit Procedures and Significance

The final quality audit is the last safeguard before shipment, ensuring products meet buyer expectations and reducing risks of rejection or penalties. On that note, an auditor uses an AQL (Acceptable Quality Limit) is a statistical sampling method used in quality control to determine the maximum number of defective units that can be considered acceptable in a given lot size. It's a key standard in the apparel sector that helps auditors decide whether to accept or reject a production lot based on a predetermined level of quality. The following table shows the stages and components of doing a final quality audit of fabric parameters through an AQL:

Aspects	Final Audit Practices
Procedure	Statistically selected, finished, and packed goods are inspected against a checklist for measurements, finishing, and packaging.
AQL (Acceptable Quality Limit)	AQL sampling is used to decide a pass/fail status based on the number of defects found in the fabric components.
Significance	Passing the audit allows for shipment release; failing requires a 100% recheck, rework, and re-audit.
Packing Compliance Check	Carton strength, labelling accuracy, barcodes, and buyer-specific packing instructions are verified.
Workmanship Verification	Stitching, seams, embroidery, printing, and overall garment finishing are assessed for consistency with the master sample.
Measurement Confirmation	Garment dimensions are cross-checked against buyer size specifications using size charts.
Colour Consistency Review	Shades across different production lots are compared under controlled lighting to ensure no visible variation.

Table 9.2.7: AQL sampling plan

9.2.8 Importance of Proactive Communication

Proactive communication helps identify and solve issues before they escalate, building trust with buyers and ensuring smooth production. The following table shows the key components of proactive communication:

Aspects	Communication Practices
Early Warning	Buyers are informed immediately about delays or possible quality issues.
Joint Problem Solving	Buyers are worked with to approve alternatives when materials or processes face challenges.
Building Trust	Transparency is shown by reporting potential risks early, strengthening buyer relationships.
Escalation Protocol	Unresolved compliance or quality concerns are reported promptly to higher management or buyer representatives.
Documentation Sharing	Buyers are provided with written audit reports, non-conformance records, and corrective action updates.
Supplier Coordination	Suppliers are liaised with directly to clarify standards or resolve raw material concerns before production.
Continuous Feedback	Recurring audit observations are shared with factory teams and buyers to drive long-term improvements.
Training Communication	Awareness sessions for workers and supervisors on quality and compliance standards are recommended.
Follow-Up Reporting	Buyers are updated on corrective actions taken, and the resolution of earlier audit findings is verified.
Aspects	Communication Practices
Early Warning	Buyers are informed immediately about delays or possible quality issues.

Table 9.2.8: Proactive communication practices for auditors

9.2.9 Statistical Process and Quality Control

Statistical process control (SPC) uses data and charts to monitor variations in production, shifting QC from reactive defect-finding to proactive defect prevention. The following table shows various stages of SPC factors in apparel factory compliance audit:

Aspects	SPC Practices
Monitoring Production	Production data, such as dimensions, defect counts, or fabric weights, are recorded on control charts.
Identifying Trends	Control charts are analysed to detect unusual variations or developing issues.
Preventive Action	Corrective measures are taken early to stop minor variations from becoming defects.
Employee Training	It is ensured that operators and QC teams are trained to collect, read, and act on SPC data.

Aspects	SPC Practices
Machine Calibration	It is verified that machines are regularly calibrated so measurements and outputs remain accurate.
Data Accuracy Check	Recorded SPC data is audited to confirm correct sampling methods and reliable entries.
Process Capability Study	It is assessed whether production processes consistently meet buyer specifications and standards.

Table 9.2.9: Statistical process control practices for auditors

Summary

- Buyers' quality requirements and inspection methods must be understood clearly.
- Organisations use tools, templates, and processes to track quality compliance.
- Raw material components and their exact specifications must be known.
- Quality checkpoints should be identified with the supervisor's consultation.
- Test reports must record both critical and non-critical defects.
- Product specifications, tech packs, and compliance reports must be followed.
- Reference samples and manuals must be maintained in good condition.
- Standards must be adequately understood and confirmed with relevant stakeholders.
- Reporting formats and their periodicity must be followed in the organisation.
- Data on material issued and received from vendors should be recorded accurately.
- Final quality audits and inspection procedures are essential to ensure compliance.
- Statistical process control and quality control methods help monitor product quality and ensure consistency.

Exercise

Multiple-choice Question:

- Which of the following describes buyers' requirements in garment production?
 - Quality standards and inspection methods
 - Marketing strategies and cost analysis
 - Packaging and labelling only
 - Sales and distribution channels
- What is the primary purpose of tech packs in garment production?
 - To record vendor payments
 - To provide detailed product specifications
 - To replace final audit procedures
 - To calculate raw material costs
- Which of the following is considered a critical defect?
 - Slight colour variation
 - Minor stitching skipped
 - Broken zipper on a jacket
 - Loose thread on seam edge
- What does statistical process control help with?
 - Reducing fabric wastage only
 - Monitoring quality using data and charts
 - Maintaining vendor accounts
 - Recording production time only
- What is the role of reference samples in quality assurance?
 - To compare production with approved standards
 - To replace inspection reports
 - To control the costs of raw materials
 - To calculate employee productivity

Descriptive Questions:

- Describe the importance of buyers' requirements in ensuring product quality.
- Explain the role of tech packs and reference samples in garment production.
- How are reporting procedures and formats followed in an organisation?
- Describe the steps involved in a final quality audit.
- Explain how statistical quality control helps in monitoring production.

10. Maintain a Healthy, Safe and Secure Working Environment with Gender and PWD Sensitisation



Unit 10.1 - Health, Safety, and Workplace Practices

Unit 10.2 - Emergency Procedures and Response

Unit 10.3 - Personal Safety, Health, and Environmental Management



Key Learning Outcomes

By the end of this module, the participants will be able to:

1. Explain health and safety-related practices applicable at the workplace.
2. Explain the importance of complying with health, safety, gender and PWD-related instructions applicable to the workplace.
3. Explain gender equality in the apparel industry.
4. Describe health and safety-related practices applicable at the workplace.
5. Comply with health and safety-related instructions applicable to the workplace.
6. Describe organisational procedures for safe handling of equipment and machine operations.
7. Describe potential risks due to own actions and methods to minimise these.
8. Describe potential hazards, risks and threats based on the nature of operations.
9. Report hazards and potential risks/ threats to supervisors or other authorised personnel.
10. Describe the layout of the plant and details of emergency exits, escape routes, emergency equipment and assembly points.
11. Describe potential accidents and emergencies, and responses to these in the workplace scenarios.
12. List the details of personnel trained in first aid, firefighting and emergency response.
13. Follow organisation procedures for shutdown and evacuation when required.
14. Follow organisational procedures or supervisor instructions in the event of fire, emergencies or accidents.
15. Describe the actions to take in the event of mock drills/ evacuation procedures or actual accident, emergency or fire.
16. Discuss the importance of training sensitisation programs for gender and PWD awareness organised at the workplace.
17. Identify signage related to health and safety measures.
18. Explain the importance of sound health, hygiene and good habits.
19. Maintain a healthy lifestyle.
20. Demonstrate basic first aid.
21. Demonstrate how to perform basic CPR.
22. Apply personal protective equipment where required during inspection.
23. Explain the environmental management system-related procedures at work.
24. Explain the reporting protocol and documentation required for this process.
25. Perform own activities in line with approved guidelines and procedures.
26. Monitor the workplace and work processes for potential risks and threats.

UNIT 10.1: Health, Safety, and Workplace Practices

Unit Objectives

By the end of this unit, the participants will be able to:

1. Explain health and safety-related practices applicable at the workplace.
2. Discuss the importance of complying with health, safety, gender, and PWD-related instructions in the workplace.
3. Explain the importance of gender equality in the apparel industry.
4. Describe organisational procedures for safe handling of equipment and machine operations.
5. Describe potential risks due to own actions and methods to minimise these risks.
6. Elaborate on potential hazards, risks, and threats based on the nature of operations.
7. Report hazards and potential risks or threats to supervisors or other authorised personnel.
8. Elaborate on signage related to health and safety measures.
9. Explain the importance of sound health, hygiene, and good habits in the workplace.

10.1.1 Health and Safety Practices at Work

Health and safety practices at work are the rules and procedures designed to protect employees from injury, illness, and accidents. In an industrial setting, these practices are crucial for maintaining a safe environment and ensuring that workers can perform their duties without risk. They cover a wide range of topics, from handling dangerous machinery to maintaining a clean and organised workspace.

- **Ergonomics**

Ergonomics is the science of designing the workplace to match human needs and capabilities. In an apparel factory, this involves arranging sewing stations, cutting tables, and other equipment to suit workers' posture and movements, which helps prevent injuries such as wrist strain, eye fatigue, and back pain.



Fig. 10.1.1: Workplace ergonomics

- **Proper Lifting Techniques**

Workers must be trained to lift heavy objects correctly to avoid back injuries. This includes using their legs, not their back, and seeking help for cumbersome items.

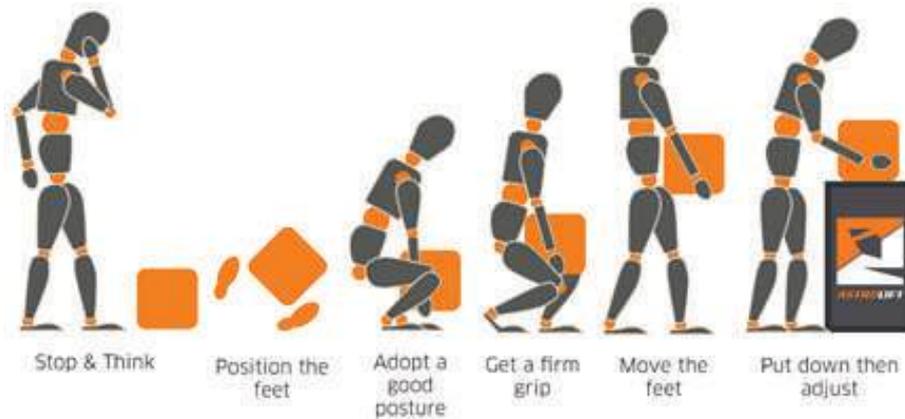


Fig. 10.1.2: Proper lifting techniques

- **Emergency Procedures**

Emergency preparedness is the practice of planning and training for unexpected events to ensure the safety of workers. In an apparel factory, this means having clear plans for situations like fires, chemical spills, or natural disasters, along with designated escape routes and a well-trained emergency response team. The following are the different types of emergency procedures in various kinds of emergency breakouts:

- o **Fire emergency procedure overview**

- **What is fire?**

Fire is a rapid chemical reaction that releases light and heat energy. It is an oxidation process where a fuel reacts with an oxidising agent, typically oxygen from the air.

- **Parts of fire**

A typical fire has three zones: the incipient zone, where burning begins, the active zone with the strongest flames, and the reducing zone with limited oxygen and lower temperature.

- **Fire behaviour**

Fire behaviour is explained by the Fire Triangle, which requires heat, fuel, and oxygen, while the modern Fire Tetrahedron adds the chemical chain reaction as the fourth factor; removing any one of these elements stops the fire.



Fig. 10.1.3: Fire triangle



Fig. 10.1.4: Fire tetrahedron

- **Fire safety and types of fire**

A fire emergency is any uncontrolled fire that threatens life, property, or the environment, and the following are the types of fire as per Indian Standard IS 2190:2010:

Fire Class	Description
Class A	Fires involving solid combustible materials like wood, paper, textiles, and plastics.
Class B	Fires involving flammable liquids like petrol, diesel, kerosene, and oils.
Class C	Fires involving flammable gases like LPG, propane, and natural gas.
Class D	Fires involving combustible metals like magnesium, aluminium, and sodium.
Class F (or K)	Fires involving cooking oils and fats.

Table 10.1.1: Types of fire

- **Common Fire Emergencies in Apparel Factories**

Apparel factories have specific fire risks due to the nature of their materials and processes. Common emergencies include:

Apparel Fire Type	Description
Fabric and Garment Fires	Highly combustible materials like cotton and polyester can ignite easily from sparks or heat.
Electrical Fires	Faulty wiring, overloaded circuits, or unmaintained machinery can cause electrical shorts and fires.
Chemical Fires	Fires involving dyes, solvents, or other chemicals used in the finishing process.
Dust Fires	Accumulation of fabric lint and dust can act as a fuel source and ignite easily, leading to flash fires.
Class F (or K)	Fires involving cooking oils and fats.

Table 10.1.2: Apparel fire types

- **Fire Extinguishers**

A fire extinguisher is an active fire protection device used to extinguish or control small fires in an emergency.

- **Parts of Extinguishers**

Several essential parts are included in a fire extinguisher. The main body that holds the extinguishing agent is called the cylinder. The discharge lever is the handle that is squeezed to release the agent, and the safety pin is what prevents accidental discharge. The hose or nozzle is what directs the flow of the agent onto the fire, and the pressure gauge is what shows whether the extinguisher is ready for use.

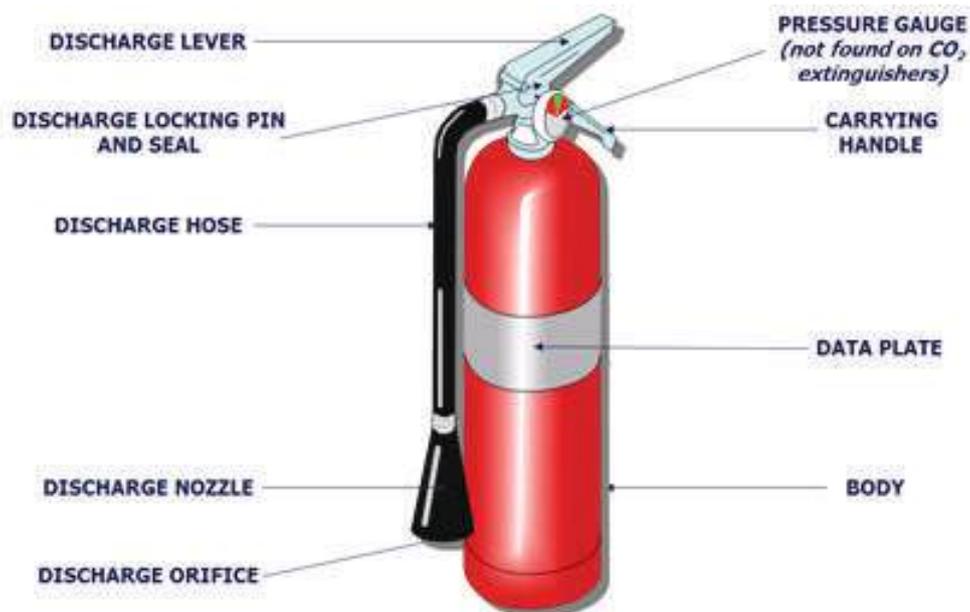


Fig. 10.1.5: Parts of a fire extinguisher

- **Types of Fire Extinguishers**

The following are the types of fire extinguishers as per Indian Standard IS 15683:2018:

- **Water extinguisher**

Water extinguishers are used with plain water as the extinguishing agent, and effectiveness is found for Class A fires.



Fig. 10.1.6: Water-based fire extinguisher

- **Foam extinguisher**

Foam extinguishers are used with Aqueous Film Forming Foam (AFFF), and suitability is observed for flammable liquids such as petrol, diesel, and oils.



Fig. 10.1.7: Foam-based fire extinguisher

- **Dry Chemical Powder (DCP) extinguisher**

Dry Chemical Powder (DCP) extinguishers are filled with Monoammonium phosphate or sodium bicarbonate, and effectiveness is ensured for Classes A, B, and C fires.



Fig. 10.1.8: Dry chemical fire extinguisher

- **Carbon Dioxide (CO₂) extinguisher**

Carbon Dioxide (CO₂) extinguishers are operated with pressurised CO₂ gas, and application is made commonly used for electrical and flammable liquid fires.



Fig. 10.1.9: Carbon- dioxide fire extinguisher

- **Wet Chemical extinguisher**

Wet Chemical extinguishers are charged with potassium acetate or potassium citrate, and they are explicitly designed for cooking oil and fat fires in kitchens.



Fig. 10.1.10: Wet chemical fire extinguisher

- **Method to use a fire extinguisher**

The P.A.S.S. method is regarded as a simple and effective way to remember how a fire extinguisher is used. First, the safety pin is pulled from the handle so that the extinguisher is unlocked. Next, the nozzle is aimed at the base of the fire, and not at the flames. Then, the handle is squeezed so that the extinguishing agent is released. Finally, the nozzle is swept from side to side at the base of the fire until the fire is completely extinguished.



Fig. 10.1.11: PASS method of fire extinguisher image

- **Fire emergency preparedness**

As per Indian Standard IS 2190:2010 and NBC 2016, the following stages of emergency preparedness are outlined:

- **Fire Drills**

Evacuation procedures are practiced through regularly conducted drills. Employees are trained in fire prevention, extinguisher use, and emergency procedures.

For _____
(Year)

FIRE DRILL (monthly)

	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Date												
Time												
Number of Children												
Length of Drill**												

Fig. 10.1.12: Sample fire drill schedule

o **Fire Alarms and Detection Systems**

Smoke detectors, heat detectors, and manual call points are installed.



Fig. 10.1.13: Fire alarm detection systems

o **Firefighting Equipment**

Apart from fire extinguishers, hose reels, firefighting suits and fire hydrants are made available and maintained.

Firefighting equipment	Description	Images
Fire hose reels	Fire hose reels are fixed reels with a hose to spray water on small fires quickly.	

Firefighting equipment	Description	Images
Fire hydrants	Fire hydrants are water outlets used by firefighters to connect hoses for extensive fire control.	
Firefighting suits	Firefighting suits are protective clothing worn to safeguard firefighters from heat and flames.	

Table 10.1.3: Firefighting equipment

- o **Emergency Exits and Evacuation Plans**

Emergency exits are clearly marked and kept unobstructed, and an evacuation map is posted.



Fig. 10.1.14: Fire exits

- o **Fire symbols**

Fire symbols are pictorial signs that warn about fire risks, show the type of fire hazard, and provide guidance on safe extinguishing methods.



Fig. 10.1.15: Fire symbols

- **Fire safety**

Fire safety is the practice of preventing, controlling, and protecting people and property from fire hazards in workplaces and factories. Fire safety protocols in India are regulated by IS 14489:1998, IS 2190:2010, and the National Building Code, Part 4.

- **RACE Model**

The RACE model is a fire safety procedure in which people in immediate danger are rescued, others are alerted, the fire is contained, and evacuation is done to the assembly point.

Step	Action
R – Rescue	Anyone in immediate danger is to be rescued.
A – Alert	Others are to be alerted by shouting and by activating the fire alarm.
C – Contain	Doors and windows are to be closed so that the fire is contained.
E – Evacuate	The area is to be evacuated immediately, and the designated assembly point is to be reached.

Table 10.1.4: RACE Model steps

- **Call the Fire Department**

The emergency number is to be dialled immediately (101) for PAN-India.

- **Do Not Use Lifts**

Stairs are to be used during a fire evacuation.

- **Do Not Re-enter**

A burning building is never to be re-entered.

- **Personal Protective Equipment (PPE) Usage**

Employees must be provided with and trained on how to use appropriate PPE, such as safety goggles, gloves, ear protection, and safety footwear. This is a critical line of defence against workplace hazards.



Fig. 10.1.16: PPE types

- **Lockout/Tagout (LOTO)**

Lockout/Tagout (LOTO) is a safety procedure that ensures machines are properly shut down and isolated from energy sources before maintenance or repair, preventing accidental start-up with the help of a LOTO kit. A LOTO kit is a set of tools and devices used to implement the Lockout/Tagout (LOTO) procedure, typically including locks, tags, hasps, and keys to isolate and secure energy sources during maintenance or repair safely.



Fig. 10.1.17: LOTO kits

- **Emergency preparedness inspection**

Emergency preparedness inspection in an apparel factory involves a thorough internal review to ensure that all safety systems, equipment, and procedures are in place and functioning correctly before external help is called. A factory compliance auditor reviews the emergency preparedness checklist, which includes fire alarms, exits, evacuation plans, firefighting equipment, and employee training, to verify readiness and identify any gaps that require immediate correction.

Date:	Time:			Location:		
Inspection Items	Yes	No	NA	Corrective Action	Date of Completion	
Emergency Lighting (Functional Check)						
LED Lighted						
Good condition						
Fire Sprinkler (Functional Check)						
Fire sprinkler mechanical devices should be tested.						
Fire Pump (Functional Check)						
Fuel tank, float switch, and supervisory signal for interstitial space:						

Inspector (Name and Sign)	
Branch Manager (Name and Sign)	
HSE Manager (Name and Sign)	

Fig. 10.1.18: Emergency preparedness inspection checklist

10.1.2 Complying with Workplace Instructions

Following workplace instructions is a shared responsibility between management and employees that ensures a safe and efficient environment by minimising confusion and preventing accidents.

- Following Safety Protocols**
 This involves strictly following protocols for operating machinery, handling hazardous materials, and using PPE.
- Adhering to Policies**
 Employees must comply with all company policies, including rules on attendance, breaks, and general conduct.
- Clear Communication**
 Management must ensure that all instructions are clear, easy to understand, and communicated effectively to all employees, perhaps through training sessions or visible signage.

- **Hierarchy of controls**

The hierarchy of controls reduces hazards through elimination, substitution, engineering, administrative measures, and PPE, with workplace instructions forming part of administrative control.

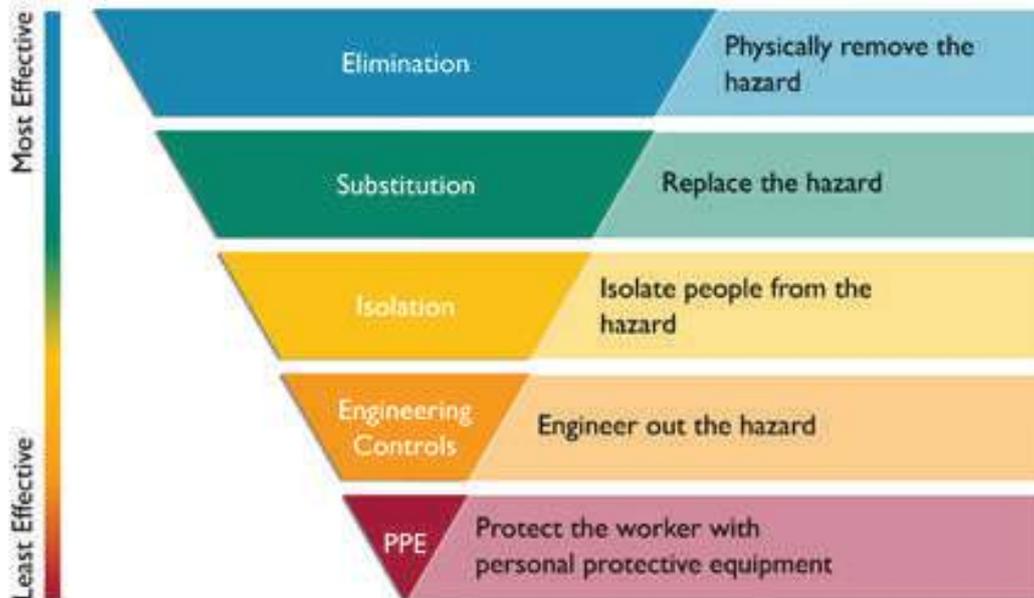


Fig. 10.1.19: Hierarchy of controls as workplace safety instructions

10.1.3 Importance of Gender Equality in Apparel

Gender equality in the apparel industry is the practice of ensuring that all employees, regardless of their gender, have equal opportunities, rights, and responsibilities. This is particularly important in the apparel sector, which is predominantly female. Promoting gender equality leads to a more diverse, fair, and productive workplace.

Practice	Description
Equal Pay for Equal Work	Ensures that men and women performing the same job receive the same pay, eliminating wage discrimination.
Harassment and Discrimination Policies	Enforces a strict zero-tolerance policy against gender-based harassment or discrimination, including training on reporting incidents.
Leadership Opportunities	Provides women with leadership and promotion opportunities to create a balanced management structure.

Table 10.1.5: Gender equality and inclusivity inclusions

In India, legislation plays a crucial role in promoting gender equality in the workplace by protecting rights, preventing discrimination, and ensuring fair opportunities. These laws help create a safer, more inclusive, and equitable work environment for all employees, especially women in factories.

Legislation	Purpose
Equal Remuneration Act, 1976	Ensures equal pay for men and women for the same work or work of a similar nature.
Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013	Protects against sexual harassment and mandates grievance redressal mechanisms.
Maternity Benefit Act, 1961	Grants maternity leave and benefits to female employees, protecting job security during pregnancy.
Factories Act, 1948	Includes provisions to ensure the health, safety, and welfare of female workers in factories.

Table 10.1.6: Gender Equality Laws in India

10.1.4 Safe Handling of Equipment and Machines

Safe handling of equipment and machines involves a series of practices to prevent injuries to the operator and to those working nearby. It includes understanding a machine's capabilities and limitations, following all operating instructions, and performing regular safety checks.

- Proper Training**
 Before operating any machinery, an employee must receive thorough training on its functions, safety features, and emergency shutdown procedures.
- Machine Guards**
 All dangerous moving parts of a machine must be protected by machine guards. These are physical barriers that prevent a worker from making contact with the moving parts.
- Pre-Operation Check**
 Before starting a machine, the operator should perform a quick safety check to ensure all guards are in place, emergency stop buttons are working, and the workspace is clear of obstructions.

Checklist for machine or equipment safety

Existing machines or equipment

Name and identifier of the machine: <input type="text"/>			
Inspection date: <input type="text"/>		Inspector: <input type="text"/>	
Subject of inspection	Yes	No	Notes
Risk assessment (operation and machine)	<input type="checkbox"/>	<input type="checkbox"/>	
After alterations: updating the work instructions, orientation	<input type="checkbox"/>	<input type="checkbox"/>	
Accounting for changing legislation and standards when altering the machine	<input type="checkbox"/>	<input type="checkbox"/>	

Accounting for machine connections	<input type="checkbox"/>	<input type="checkbox"/>	
Modernness of protective equipment	<input type="checkbox"/>	<input type="checkbox"/>	
Protective equipment and improving the protection	<input type="checkbox"/>	<input type="checkbox"/>	
Instructions for use and maintenance	<input type="checkbox"/>	<input type="checkbox"/>	
Assessment of repair and development needs	<input type="checkbox"/>	<input type="checkbox"/>	
Lifecycle design and recycling plan	<input type="checkbox"/>	<input type="checkbox"/>	

Fig. 10.1.20: Machine safe handling checklist

10.1.5 Minimising Workplace Risks and Threats

Workplace risks are potential threats that could cause harm, such as tripping hazards, exposure to chemicals, or repetitive strain. Identifying and minimising these risks is a core part of health and safety management. By proactively addressing these risks, a company can prevent accidents and create a safer environment.

- **Risk Identification**

This involves conducting a thorough walkthrough of the factory to identify all potential risks. A risk could be anything from a wet floor to a poorly maintained machine.

- **Risk Minimisation Methods**

Once a risk is identified, a method to minimise it is implemented. For a wet floor, the method is to clean the spill immediately and place a "Wet Floor" sign. For a faulty machine, the technique is to tag it out and repair it.

- **Hazard risk identification checklist**

A hazard risk identification checklist helps prioritise controls by first aiming to eliminate hazards. If elimination is not possible, safer substitutes are used, and as a last resort, PPE is provided to protect workers.

Location:		Date:	
Site Activities:	ex. landscaping installation, landscaping maintenance, tree and shrub installation		
Ref Number:		Assessor:	

Hazard Identification	Risk Evaluation			Control Measures	Responsible Persons
	Probability	Severity	Risk		
Equipment Malfunction	3	4	[Probability x Severity]= 12	-Regular maintenance and inspection schedules -Training for all employees	Site Manager
Chemical Exposure	2	5	[Probability x Severity]= 10	-Training in the use of PPE -Proper storage and handling protocol for	Safety Officer
Weather Events	4	3	[Probability x Severity]= 12	-Monitoring weather reports and updates -Emergency response plan	Project Supervisor

Fig. 10.1.21: Hazard risk identification checklist

10.1.6 Potential Hazards and Risks

Apparel factories involve multiple processes such as cutting, sewing, dyeing, and finishing, which expose workers to a variety of hazards. Identifying these potential hazards and risks is essential for implementing effective safety measures, preventing accidents, and ensuring the health and well-being of employees. Hazards can be physical, chemical, biological, ergonomic, or psychosocial, and each type requires specific control measures tailored to the apparel sector:

Hazard Type	Description	Example in the Apparel Sector
Physical Hazards	Hazards from the work environment that can cause injury or harm.	Sharp cutting tools, sewing machine needles, and noise from machinery.
Chemical Hazards	Exposure to harmful chemicals used in processes like dyeing and finishing.	Textile dyes, solvents, bleach, and adhesives.
Biological Hazards	Hazards from exposure to bacteria, fungi, or other biological agents.	Mould in stored fabrics, bacteria in wet work areas.
Ergonomic Hazards	Hazards from repetitive movements, awkward postures, or heavy lifting.	Long hours of sewing, repetitive stitching, lifting fabric rolls.
Fire Hazards	Risks of ignition or combustion due to flammable materials or faulty wiring.	Cotton or polyester catching fire, or electrical short circuits.
Psychosocial Hazards	Hazards related to workplace stress or harassment.	High work pressure, harassment, and long working hours.

Table 10.1.7: Types of hazards in apparel factories

10.1.7 Report Hazards and Risks to Supervisors

Reporting hazards and risks to supervisors is a crucial part of an effective safety culture. Employees are often the first to notice potential problems, and by reporting them, they play an essential role in maintaining the overall safety of the workplace. An open reporting system encourages employees to take an active role in their own safety and the safety of their colleagues.

- **Clear Reporting Channels**

Factories should have a clear and easy-to-use system for reporting hazards. This could be a formal reporting form, an online portal, or a simple conversation with a supervisor.

- **No Retaliation**

Employees must be assured that they will not face any negative consequences for reporting a potential hazard or safety concern. This builds trust and encourages honest feedback.

- **Prompt Action**

Once a hazard is reported, the supervisor must take prompt action to investigate it and implement a solution. This shows employees that their concerns are taken seriously.

- **Regular Training**

Employees need to be regularly trained on how to identify and report hazards. This training should be part of their on-boarding process and reinforced periodically.

- **Worker Participation**

Encourage workers to be actively involved in safety committees and hazard identification processes. This participation gives them ownership and provides valuable on-the-ground insights.

Incident type:	Date of incident:	Time of incident:
Location:		
City:	State:	Zip code:
Specific area of location (if applicable):		
Offense incident description:		
Follow-up action:		
Name / Role / Contact of parties involved:		
1. _____		
2. _____		
Name / Role / Contact of witnesses:		
1. _____		
2. _____		
Vehicles involved:		
Item name	Owner	Year
Value	Color	Make

Fig. 10.1.22: Hazard and incident reporting sample template

10.1.8 Health and Safety Signage

Health and safety signage is a visual communication system used to convey critical information and warnings quickly and effectively. Knowing how to identify and understand this signage is essential for every employee to navigate the workplace safely.

- **Prohibition Signs**

These signs, typically a red circle with a diagonal line, indicate that an action is forbidden. An example is a "No Smoking" sign.



Fig. 10.1.23: Prohibition signs

- **Warning Signs**

These signs, usually a yellow triangle with a black border, alert workers to potential hazards. An example is a "Chemical Hazard" sign.

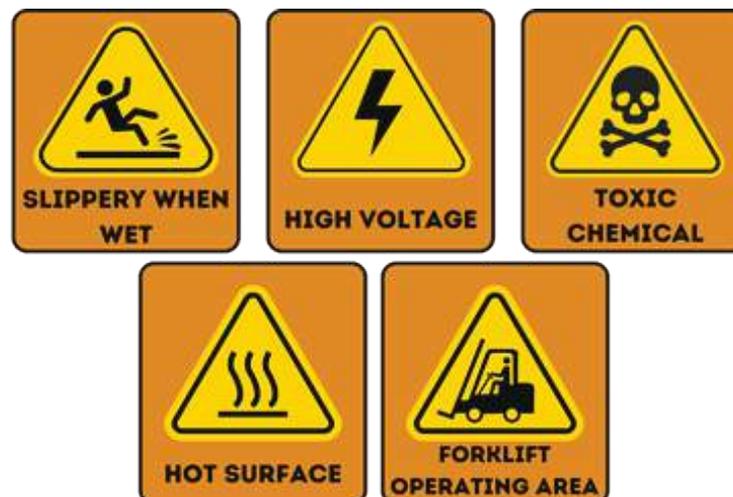


Fig. 10.1.24: Warning signs

- **Mandatory Signs**

These signs, typically a blue circle with a white symbol, indicate that a specific action must be taken. An example is a "Wear Safety Goggles" sign.



Fig. 10.1.25: Mandatory signs

- **Emergency Information Signs**

These signs are green and provide information on emergency exits, first aid stations, and safety showers.

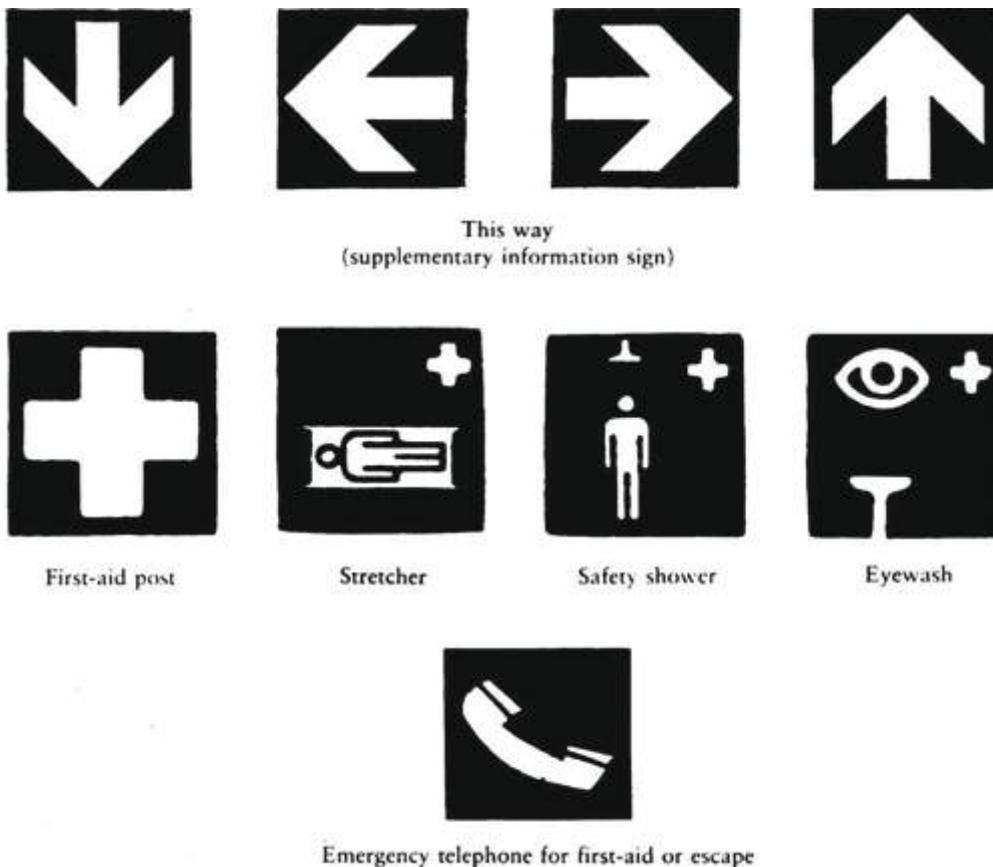


Fig. 10.1.26: Emergency information signs

10.1.9 Importance of Health and Hygiene

Health and hygiene in the workplace are vital for preventing the spread of illness and maintaining a sanitary environment. Promoting good hygiene protects not only the employees but also the products, particularly in industries like clothing manufacturing. The following table explains the importance of health and hygiene:

Aspect	Description
Absenteeism Reduction	A clean and sanitary workplace significantly lowers the spread of illnesses like colds, flu, and other contagious diseases. This leads to fewer sick days, ensuring a more consistent and present workforce.
Ensuring Ethical Compliance	A healthy and hygienic work environment is a fundamental ethical and often legal obligation. Companies have a duty of care to provide a safe and healthy space for their employees, demonstrating responsibility and integrity.
Enhancing Workplace Morale	A clean environment shows employees that management cares about their well-being. This sense of being valued boosts morale and makes staff feel more comfortable and respected.
Enhancing Job Satisfaction	Employees are more satisfied in a clean, healthy, and safe workplace. It's a foundational "hygiene factor" that prevents dissatisfaction and allows employees to focus on their work, rather than being distracted by concerns about cleanliness or health risks.
Reflecting Professionalism	A well-maintained and hygienic workplace creates a positive first impression for clients, visitors, and new employees. It reflects a professional, organised, and reputable business, building trust and confidence.

Table 10.1.8: Importance of workplace health and hygiene practices

UNIT 10.2: Emergency Procedures and Response

Unit Objectives

By the end of this unit, the participants will be able to:

1. Describe the layout of the plant, including details of emergency exits, escape routes, emergency equipment, and assembly points.
2. List the details of personnel trained in first aid, firefighting, and emergency response.
3. Follow organisational procedures for shutdown and evacuation when required.
4. Describe the actions to take during mock drills, evacuation procedures, or actual accidents, emergencies, or fires.
5. Explain the importance of training sensitisation programs for gender and PWD awareness organised at the workplace.

10.2.1 Plant Layout and Emergency Exits

A factory's plant layout refers to the physical arrangement of machinery, workstations, and equipment. A well-designed layout is essential for safety, efficiency, and worker flow. Emergency exits are designated doorways and paths that provide a quick and safe escape from the facility during an emergency. These exits must be clearly marked, kept unobstructed, and lead to a safe assembly point outside.

- **Layout Design**

The layout should ensure a clear and logical flow of production, while also providing enough space for workers to move safely. Aisles should be wide enough for people and equipment to pass without risk.

- **Exit Requirements**

Emergency exits must be well-lit and marked with internationally recognised signage. They should open outward and have easy-to-operate hardware.

- **Assembly Point**

The layout should clearly identify the assembly point—a designated safe area away from the building where all personnel gather after an evacuation to be accounted for.

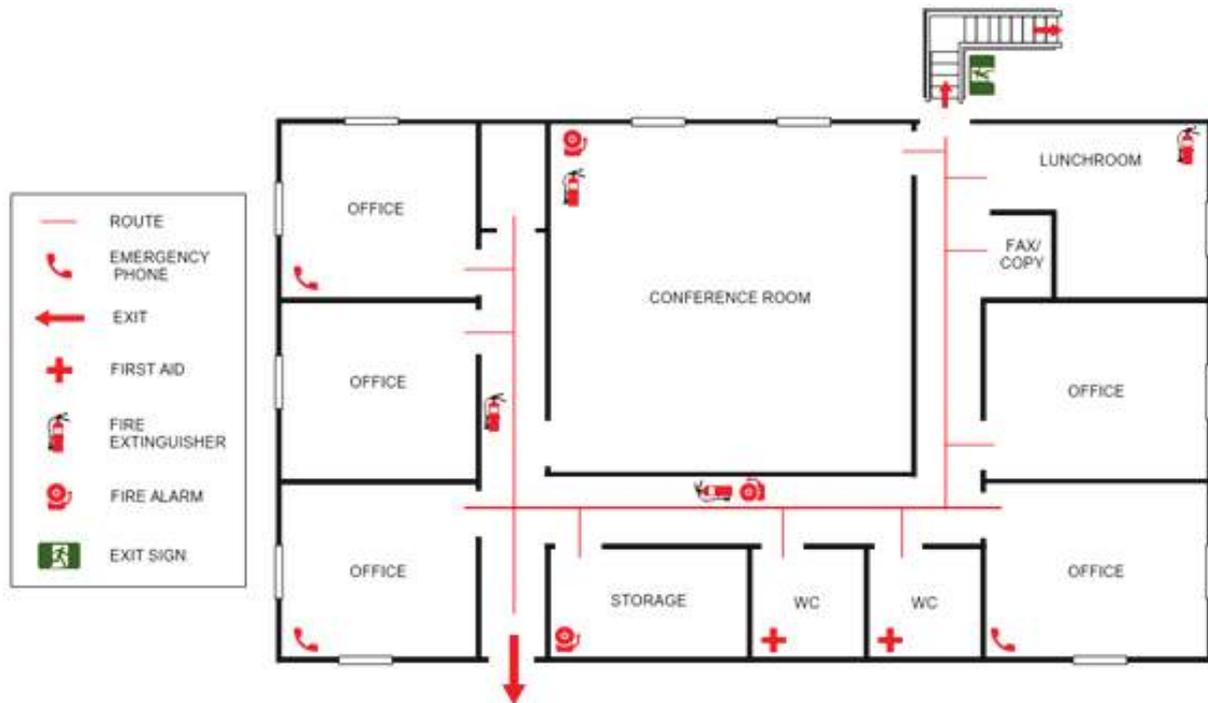


Fig. 10.2.1: Emergency exit and layout plan

10.2.2 Personnel Trained In First Aid

In any factory, it's vital to have a designated list of personnel who are trained in first aid. These individuals are equipped with the skills to provide immediate care for injuries until professional medical help arrives. A clear list ensures that in an emergency, someone can be quickly identified to help.

- **List of First-Aid-Trained Personnel**

Creating a List of First-Aid-Trained Personnel is a critical component of any comprehensive workplace health and safety program. This process ensures that in an emergency, anyone can quickly identify who is qualified to provide immediate medical assistance, a vital step in mitigating harm.

Agency Name		Agency Code		Date Submitted		Page ____ of ____						
List all personnel alphabetically Last name, First name	Date of Birth	Certified First Responders		Emergency Medical Technicians				Check Other Levels				
	mm/dd/yy	ID Number	Expires	ID Number	Expires	B	I	CC	P	CPR	AED/PAD	First-Aid
						<input type="checkbox"/>						
						<input type="checkbox"/>						

Fig. 10.2.2: First-aid personnel roster

- **Risk Assessment**

Before training begins, a risk assessment is performed to determine the necessary number of first-aid-trained personnel and their ideal locations. This assessment considers the workplace size, the total number of employees, the inherent risks of the work being done, and the distance to emergency medical services (EMS) access.

		Severity				
		Negligible	Minor	Moderate	Significant	Severe
Likelihood	Very Likely	Low Med	Medium	Med Hi	High	High
	Likely	Low	Low Med	Medium	Med Hi	High
	Possible	Low	Low Med	Medium	Med Hi	Med Hi
	Unlikely	Low	Low Med	Low Med	Medium	Med Hi
	Very Unlikely	Low	Low	Low Med	Medium	Medium

Risk Matrix Example Likelihood X Severity = Risk Level

Fig. 10.2.3: Risk assessment matrix

- **Training and Certification**

Once the need is identified, specific employees are selected for formal training and certification from a recognised provider, such as the Red Cross. It's crucial that this training meets all legal and industry-specific standards to ensure the personnel are properly qualified to respond to emergencies.

First Aid Training Certificate

This certifies that

Has satisfactorily completed the first aid training

Given this ___ day of _____ in the year _____.

Signature



Location

Fig. 10.2.4: First-aid training and certification

- **Data Collection**

Following certification, a central registry or database is created for data collection. This record should include each employee's full name, their work location or department, the specific type of first-aid certification they hold, the certification's issue and expiration dates, and their contact information.

✓ EMERGENCY INFORMATION			
	NAME	LOCATION	TELEPHONE NUMBER
HEALTH AND SAFETY REPRESENTATIVE			
FIRST AID EQUIPMENT			
EMERGENCY SERVICES			
EMERGENCY ASSEMBLY POINT			
LOCAL HOSPITAL			
ACCIDENT REPORT LOG BOOK			
HEALTH AND SAFETY REPRESENTATIVE			

Fig. 10.2.7: First-aid communication log

10.2.3 Procedures for Shutdown and Evacuation

Shutdown and evacuation procedures are critical for ensuring the safety of all employees during an emergency. The shutdown procedure involves safely stopping all machinery and operations to prevent further danger, while evacuation is the process of getting everyone out of the building. Both methods must be followed precisely.

- **Shutdown**

The procedure outlines how to power down machinery and equipment in an emergency safely. It's often triggered by a central alarm system.

- **Evacuation**

This involves all personnel leaving the building immediately through the nearest emergency exit and proceeding to the designated assembly point.

- **Accountability**

Once at the assembly point, a roll call is taken to confirm that everyone has evacuated safely and is accounted for.



Fig. 10.2.8: Evacuation plan

10.2.4 Actions to Take During Mock Drills

Mock drills, such as fire drills or evacuation drills, are practice exercises to prepare employees for real emergencies. Describing the actions to take during these drills is essential for making them effective. The goal is to ensure that everyone knows their role and can execute the procedures instinctively.

- Treat it as Real**
 The most crucial action is to treat the drill as if it were a real emergency. This means moving quickly and seriously, without laughing or causing distractions.
- Follow the Plan**
 Employees should follow the established procedures for shutdown and evacuation, using the designated exits and routes.
- Gather and Report**
 Once at the assembly point, everyone should gather in their assigned groups and report to the designated personnel to be counted.
- Review and Feedback**
 After the drill, a debriefing session is held to review what went well and what could be improved. This feedback is used to refine the emergency plan.

Emergency Preparedness
Mock drill Plan

Formal No.:

SR NO	PLAN MONTH	ACTUAL DATE	HAZARD / SCENARIO	LOCATION / AREA	PEOPLE INVOLVEMENT	TYPE OF EXERCISE	REMARKS
01							
02							
03							
04							
05							
06							
07							
08							
09							
10							

Fig. 10.2.9: Mock drill preparedness checklist

10.2.5 Importance of Training and Awareness Programs

Training and awareness programs are foundational to a strong safety culture. They educate employees about potential risks, proper procedures, and their responsibilities in maintaining a safe workplace. The importance of these programs cannot be overstated; they are a proactive measure that saves lives and prevents accidents.

Benefit	Description
Risk Reduction	Training teaches employees how to identify hazards and use safe work practices, reducing the likelihood of accidents.

Benefit	Description
Compliance	Regular training ensures the factory complies with all local and national health and safety regulations.
Empowerment	Awareness programs empower employees to take responsibility for their own safety and the safety of colleagues.
Skill Development	Programs like first aid and fire safety training provide employees with critical skills functional inside and outside the workplace.

Table 10.2.1: Employee safety training benefits

UNIT 10.3: Personal Safety, Health, and Environmental Management

Unit Objectives

By the end of this unit, the participants will be able to:

1. Demonstrate basic first aid techniques.
2. Explain environmental management system-related procedures at work.
3. Explain the reporting protocol and documentation necessary for health and safety issues.
4. Perform activities in line with approved guidelines and procedures.
5. Elaborate on monitoring the workplace and work processes for potential risks and threats.
6. Elaborate on a healthy lifestyle and practice personal well-being.

10.3.1 Basic First Aid Techniques

Injury management in the workplace includes immediate care like cleaning wounds, applying bandages, or performing CPR, guided by proper protocols for assessment, documentation, and medical support. Medical assistance involves professional treatment for serious injuries, while HR and safety officers ensure employees are trained, first aid kits are maintained, and emergency coordination is in place. In India, first aid and injury response are governed by laws like the Occupational Safety, Health and Working Conditions Code, 2020, BIS guidelines, and the Factories Act, 1948. A workplace first aid box must contain essential items such as bandages, antiseptics, burn creams, thermometers, gloves, and a manual to handle minor injuries before medical help arrives.



Fig. 10.3.1: Parts of a first-aid box

- **Administer first aid in emergencies.**

First-aid procedures are the initial medical steps taken to help an injured or ill person until professional care is available, aiming to stabilise the condition and prevent it from worsening. Different scenarios, such as bleeding, burns, fractures, and emergencies, require specific methods to provide immediate relief and improve outcomes. The following are the various scenarios where different first-aid methods are applied:

- **Bleeding Control**

Apply direct pressure to the wound with a clean cloth or bandage to stop the bleeding. Elevate the injured part and seek medical help if needed to stabilise the person.



Fig. 10.3.2: Wound dressing

- **Burns Treatment**

Cool the burn under running water for 10–20 minutes and cover it with a clean, non-stick bandage. Avoid using ice or popping blisters to prevent further damage and infection.



Fig. 10.3.3: General burn first-aid stages

- **Fractures Immobilisation**

Use a splint or firm object to keep the broken limb from moving, and apply a cold pack to reduce swelling. Keep the person calm and arrange for medical transport to ensure proper care.



Fig. 10.3.4: Fracture dressing first-aid

o **Choking Relief**

Perform the Heimlich manoeuvre by standing behind the person and applying quick, upward abdominal thrusts. Continue until the object is expelled and normal breathing returns.



Fig. 10.3.5: Heimlich manoeuvre stages for first aid of “choking”

o **Poisoning Assistance**

Identify the poison and call a poison control centre for guidance. Only administer activated charcoal if advised, and never induce vomiting unless told to do so.

Type of Poisoning	First-Aid Measures
Food Poisoning	Keep the person hydrated by offering oral rehydration solution (ORS); seek medical help if symptoms worsen.
Chemical Poisoning	Do not induce vomiting; rinse the mouth; identify the chemical and call a poison control centre.
Inhalation Poisoning	Move the person to fresh air immediately; loosen tight clothing and seek emergency help.
Drug Overdose	Keep the person awake if possible; call emergency services; do not give food, drink, or try to make them vomit.

Table 10.3.1: Poisoning first-aid in different scenarios

o **Electric Shock Aid**

Switch off the power source and use a non-metal object to move the person away from danger. Check for breathing and pulse, and give CPR if necessary.

Stage	First-Aid Measures
Disconnect Power Source	Turn off the electricity immediately using a switch or breaker; do not touch the person until power is off.
Move the Person Safely	Use a non-conductive object (like wood or plastic) to move the person away from the source.
Check for Response	Check breathing and pulse; if unresponsive, begin CPR immediately.

Stage	First-Aid Measures
Seek Medical Help	Call emergency services and monitor the person until help arrives, even if they appear to be fine.

Table 10.3.2: Electric shock first-aid

o **Foreign Object Removal**

Rinse the eye gently with clean water or use sterilised tweezers for splinters. Do not attempt to remove deeply embedded objects to avoid worsening the injury.

Stage	First-Aid Measures
Assess the Object and Area	Determine the type and location of the object (eye, skin, etc.); avoid touching or probing.
Use Safe Removal Methods	Rinse the eye with clean water or use sterilised tweezers to remove splinters gently.
Avoid Deep Probing	Please do not attempt to remove deeply embedded objects, as this may worsen the injury.
Seek Medical Help if Needed	If removal is not possible or if bleeding or pain continues, contact a medical professional.

Table 10.3.3: Foreign object removal first-aid

o **Muscle Sprain/Strain**

Apply a cold or warm compress wrapped in a cloth to reduce pain and swelling. Alternate treatments may be used depending on whether the injury is recent or ongoing.



Fig. 10.3.6: Muscle strain/sprain first-aid

o **Allergic Reaction Management**

Administer antihistamines or an epinephrine auto-injector if symptoms appear. Monitor the person closely and call for emergency help if the reaction worsens.

Type of Allergy	First Aid Measures
Food Allergy	Immediately stop consuming the allergen, administer antihistamines, and seek medical help if symptoms escalate (e.g., swelling, breathing difficulty).

Type of Allergy	First Aid Measures
Insect Bite Allergy	Apply a cold compress, use antihistamines, and seek medical attention if swelling or breathing issues occur.
Dust Allergy	Move to a clean air environment, rinse eyes/nose, and use prescribed nasal sprays or antihistamines.
Fabric Allergy (e.g., wool, synthetics)	Remove the irritating fabric, wash affected skin with cold water, and apply soothing lotion or corticosteroid cream.
Chemical Allergy (e.g., dyes, solvents)	Rinse skin with clean water for at least 15 minutes, remove contaminated clothing, and seek medical attention.
Latex/Glove Allergy (Apparel Industry)	Remove latex items, wash the affected area, apply antihistamine or hydrocortisone cream, and use non-latex alternatives.

Table: Allergy types and first-aid

- o **Seizure Assistance**

Turn the person gently on their side, remove nearby objects, and protect their head. Do not restrain them or insert anything into their mouth during the seizure.



Fig. 10.3.7: Seizure assistance

- o **Drowning Response**

Safely pull the person from the water and check for breathing and a pulse. If unresponsive, begin CPR and keep them warm while waiting for emergency help.



Fig. 10.3.8: Drowning first-aid

- **Act during emergencies, accidents**

During emergencies or accidents, it is crucial to stay calm, follow safety protocols, and act quickly to protect yourself and others. First aid kits should be regularly checked and stocked with unexpired, essential items to ensure an immediate response is possible. Reception areas must clearly display emergency procedures and contact details, with trained staff ready to guide visitors and handle urgent situations effectively.



Fig. 10.3.9: Accident response and care

- **Performing Basic CPR**

Demonstrating basic Cardiopulmonary Resuscitation (CPR) is a life-saving skill that involves a combination of chest compressions and rescue breaths to keep a person's blood flowing and oxygenated when their heart has stopped. It is a critical skill for any first aid responder and should be practised regularly.

- **Check for Responsiveness**

First, check if the person is responsive by gently tapping them and asking, "Are you okay?" If there's no response, call for help immediately.

- **Chest Compressions**

With the person lying on their back, place the heel of one hand on the centre of their chest, and the other hand on top. Push hard and fast, at a rate of 100-120 compressions per minute, to a depth of about 2 inches.

- **Rescue Breaths**

After 30 compressions, tilt the person's head back slightly, lift their chin, and give two rescue breaths, ensuring the chest rises with each breath.



Fig. 10.3.10: Stages of CPR

10.3.2 Environmental Management System Procedures

An Environmental Management System (EMS) is a framework that helps an organisation manage its environmental impact. The procedures within an EMS outline the steps a company takes to comply with environmental regulations, reduce its footprint, and continuously improve its environmental performance.

- **Policy and Planning**

The EMS starts with a clear environmental policy and a plan to achieve specific environmental goals, such as reducing water usage or managing waste.

- **Implementation and Operation**

This involves putting the plan into action through specific procedures, like a waste sorting system, and training employees on how to follow them.

- **Monitoring and Measurement**

The system includes procedures for regularly monitoring and measuring environmental performance (e.g., tracking energy consumption or wastewater discharge) to see if goals are being met.

- **Environmental KPI and dashboard**

The environmental management system includes procedures for regularly monitoring and measuring key environmental performance indicators, such as energy consumption, water usage, and wastewater discharge, to evaluate whether the set environmental goals are being achieved.



Fig. 10.3.11: Environment management system dashboard

10.3.3 Health and Safety Reporting Protocol

A Health and Safety Reporting Protocol is a formal, step-by-step process for documenting and reporting all workplace incidents, accidents, and hazards. A clear protocol is essential for a factory to track safety issues, investigate their causes, and implement corrective actions to prevent them from happening again. The table that follows explains health and safety reporting protocol:

Step	Description
Incident Documentation	Document the incident immediately on a specific form, including details of who, what, and where.
Supervisor Notification	Submit the completed form to the immediate supervisor, who ensures accuracy and takes initial action.
Investigation and Follow-up	Conduct a formal investigation to determine the root cause, assign responsibility, and track corrective actions.

Table 10.3.1: Incident reporting protocol

10.3.4 Activities in Line with Guidelines

Performing one's own activities in line with guidelines means consistently following all established procedures, safety rules, and quality standards while on the job. For a factory compliance auditor, this means conducting the audit in accordance with the specified protocols, checklists, and ethical standards. For a factory employee, it means following all instructions for their specific task.

Practice	Description
Adherence to Procedures	Follow every step of a task as outlined in the company's guidelines or Standard Operating Procedures (SOPs) without taking shortcuts.
Role Modelling	Consistently following guidelines sets a positive example for colleagues and reinforces the importance of safety and quality.
Accountability	Performing tasks according to guidelines ensures personal accountability and supports the integrity of factory operations.

Table 10.3.2: Workplace procedure compliance

10.3.5 Workplace Monitoring for Potential Risks and Threats

Monitoring the workplace for potential risks and threats is a proactive safety measure that involves constantly observing the environment for any hazards. This is an ongoing responsibility for both supervisors and employees, and it is a key component of a strong safety culture.

Practice	Description
Regular Walkthroughs	Supervisors conduct systematic walkthroughs of the factory floor to identify hazards like blocked walkways, faulty equipment, or chemical spills.
Employee Observation	Employees are encouraged and trained to notice potential threats and report concerns immediately.
Hazard Identification	Hazards, such as frayed electrical wiring, are identified and assessed for the level of risk they pose, including the potential for fire or electric shock.

Table 10.3.3: Hazard monitoring practices

10.3.6 Healthy Lifestyle for Well-Being

Maintaining a healthy lifestyle for overall well-being is not just a personal goal; it's also a crucial factor in enhancing workplace safety and productivity. A healthy employee is more alert, has more energy, and is less likely to suffer from stress or chronic health issues that could impact their performance or lead to an accident.

Practice	Description
Adequate Rest	Ensuring sufficient sleep is crucial for maintaining mental and physical alertness, thereby reducing the risk of mistakes and accidents.
Balanced Diet	Consuming a nutritious diet provides energy for the workday and supports overall health.
Regular Exercise	Engaging in physical activity helps reduce stress, improve mood, and build strength and endurance for physically demanding tasks.

Table 10.3.4: Employee wellness practices

Summary

- Health and safety practices must be followed in the workplace.
- Compliance with health, safety, gender, and PWD instructions is essential.
- Gender equality is an essential principle in the apparel industry.
- Equipment and machines should be handled in accordance with organisational safety procedures.
- Risks caused by one's own actions should be minimised through safe practices.
- Hazards and threats must be identified and reported to authorised personnel.
- Emergency exits, escape routes, and assembly points must be clearly marked and known to all workers.
- Accidents and emergencies require proper response and organisational procedures.
- Workers should participate in training and sensitisation programs for gender and PWD awareness.
- First aid, CPR, and the use of PPE are necessary skills for workplace safety.
- Sound health, hygiene, and good habits support a safe and productive workplace.
- Environmental management systems and reporting protocols must be followed.

Exercise

Multiple-choice Question:

1. What is the primary objective of workplace safety practices?
 - a. To reduce production costs
 - b. To prevent accidents and maintain a safe environment
 - c. To improve product quality
 - d. To increase working hours
2. Which of the following ensures gender equality in the workplace?
 - a. Providing equal opportunities to all employees
 - b. Assigning only specific roles to women
 - c. Paying men more than women
 - d. Avoiding training for female workers
3. What should workers do when they identify a potential hazard?
 - a. Could you ignore it and continue working?
 - b. Please report it to supervisors or authorised personnel
 - c. Fix it themselves without informing anyone
 - d. Stop working permanently
4. Which of the following is part of emergency preparedness?
 - a. Memorising only the machine codes
 - b. Knowing escape routes and assembly points
 - c. Avoiding participation in mock drills
 - d. Working longer shifts to meet targets
5. What is the purpose of personal protective equipment (PPE)?
 - a. To increase production speed
 - b. To protect workers from workplace hazards
 - c. To replace emergency exits
 - d. To monitor the attendance of employees

Descriptive Questions:

1. Describe the importance of health and safety practices at the workplace.
2. Explain the significance of gender equality and PWD sensitisation in the apparel industry.
3. What actions should workers take in the event of an accident or emergency?
4. How do first aid and CPR help in workplace safety?
5. Describe the role of environmental management systems in a safe workplace.



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11. Employability Skills



DGT/VSQ/N0103

Employability Skills is available at the following location



<https://www.skillindiadigital.gov.in/content/list>

Employability Skills



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7. Annexure



Module No.	Unit No.	Topic Name	Page No	Link for QR Code (s)	QR code (s)
Module 1: Introduction and Orientation to Factory Compliance Auditor	Unit 1.1: Roles and Opportunities of a Factory Compliance Auditor	1.1.1 Apparel Manufacturing Sector	12	https://youtu.be/ddisteV3tOo?si=uFDW4QKnI-toOKnY	 Textile Sector in India
		1.1.2 Role and Responsibilities of a Factory Compliance Auditor in the Apparel Industry	12	https://www.youtube.com/watch?v=sB9NkVn4Aco	 Compliance Officer Job Description
Module 2: Follow regulatory and company's rules and Greening of Job Roles	Unit 2.1: Legal, Ethical, and Regulatory Compliance	2.1.1 Importance of Greening Solutions and Sustainability Practices	41	https://www.youtube.com/watch?v=a5tzTrttwZE	 Sustainability to the Apparel Industry
		2.1.3 Legal & Regulatory Requirements in Apparel Sector	41	https://www.youtube.com/watch?v=CYEOz1FgCSw	 Statutory Compliance
		2.1.4 Ethical Standards & Value-Based Governance	41	https://youtu.be/ltW7KVY-J1go?si=wzE1VK2cFgALdNY_	 Business Ethics
	Unit 2.2: Work Practices and Reporting Procedures	2.2.9 Energy Conservation in Apparel Sector	41	https://youtu.be/A2J5pME3VE?si=-Djr2xN8cDRvoozl	 MSME Training

Module No.	Unit No.	Topic Name	Page No	Link for QR Code (s)	QR code (s)
Module 3: Introduction to compliance and standards	Unit 3.1: Apparel Industry Processes, Compliance, and Regulations	3.1.1 Apparel Factory Environment & Systems	74	https://youtu.be/5nUjGNDImk?si=ZF_yOtT3cWxKqfip	 Complete Process of Textile Manufacturing Fiber to Complete Garments
		3.1.4 Key Terminology in the Apparel Industry	74	https://youtu.be/G6ToQITCBNs?si=d8sg8YN5-uFVaXm-6	 Apparel manufacturing: key terminologies
Module 4: Preparation for the audit procedure	Unit 4.1: Audit and Quality Control Processes in Compliance	4.1.3 Quality Control and Quality Assurance Processes	106	https://youtu.be/anwLUX35-mE?si=XrJct80m4RHgi5fA	 Quality assurance in apparel manufacturing
		4.1.5 Preparing an Audit Checklist	106	https://youtu.be/6kuDy2N0kc-M?si=QjJs3HZcu9IytrIV	 Company Audit Checklist
Module 5: Conduct compliance audit in the organization	Unit 5.1: Evidence Collection and Audit Processes	5.1.2 Escalation Matrix: Handling Issues Beyond Control	138	https://youtu.be/Q8fjudh7pAo?si=kTMEYw4S-DDKi0m8v	 Escalation Matrix

Module No.	Unit No.	Topic Name	Page No	Link for QR Code (s)	QR code (s)
	Unit 5.2: Conformance, Standards, and Deviation Analysis	5.2.4 Identifying Non-Conformities	138	https://youtu.be/jaE2GzNrhd-Q?si=PXMtawB4UXKzZYvv	 <p>Non-Conformity and Corrective Actions in ISO 9001</p>
Module 6: Introduction to Organisational Processes	Unit 6.1: Workplace Policies, Responsibilities, and Communication	6.1.6 Importance of Teamwork and Harmony	161	https://youtu.be/DO8kwELOCXQ?si=3V1ZLOi-9Vze32qx	 <p>What is the Importance of Teamwork in the Workplace?</p>
Module 7: Prepare Audit Report	Unit 7.1: Documentation and Reporting Procedures	7.1.4 Importance of Confidentiality in Audit Reports	189	https://youtu.be/viKTZH5Cp-PY?si=yaa7CMhszvio0QfA	 <p>Can Auditors Disclose Confidential Information ?</p>
Module 8: Record Keeping Procedures	Unit 8.1: Documentation and Reporting Practices	8.1.2 Documentation and Reporting Formats	205	https://youtu.be/010EXTT0sqE?si=Ovzl-N98Eod7GXiZe	 <p>All About Audit Documentation - ISA 230</p>
Module 9: Check Compliance with Product Quality Standards	Unit 9.1: Quality Standards and Process Control	9.1.7 Importance of Samples and Tech Packs	233	https://youtu.be/gaKayTDg2hw?si=z_-lclL61P6QBFCa	 <p>Tech Pack for Merchandiser</p>

Module No.	Unit No.	Topic Name	Page No	Link for QR Code (s)	QR code (s)
Module 10: Maintain a healthy, safe and secure working environment with Gender and PWD Sensitisation	Unit 10.1: Health, Safety, and Workplace Practices	10.1.9 Health and Safety Signage	274	https://youtu.be/SqZ5np_ICr0?si=z4VQlg8rcJAYzErV	 <p>Learn 30 Essential Safety Signs</p>



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