SOCIAL COMPLIANCE AUDIT PREPARATION

Document checklist and templates

Audit booking sheet, document matrix, file index, 12-month compliance calendar and monthly KPI sheet: print them, or copy them into your own files

1. Audit booking sheet

Fill this in for every audit before you confirm the date with the audit firm

Item	Details
Factory name and address	
Law that applies (BLA or EPZ) and zone	
Total workers (permanent, temporary, contract)	
Buyer(s) asking for the audit	
Standard and version (WRAP / amfori BSCI / SMETA 7.0 2-Pillar or 4-Pillar / SLCP CAF v1.7)	
Audit type (initial, renewal, follow-up)	
Announcement (announced, semi-announced window, unannounced)	
Platform ID (WRAP ID, amfori ID, Sedex ZC/ZS, SLCP ID)	
Audit firm and contact	
Window or date confirmed	
Auditor-days and number of auditors	
Scope: units, buildings, dormitory, subcontractors	
Fee, who pays, invoice received	
Self-assessment / SAQ / CAF completed on	
Documents requested before the audit, sent on	
Internal owner and back-up person	
Buyer informed of the date on	

2. Document matrix

Tick when the document is ready, current and filed; write where it is kept

Core documents A: licences and permits

Document	Legal basis	Check	Ready	File / location
Trade licence, factory licence (DIFE) or BEPZA permission, IRC/ERC	BLA 325, 326 · BEPZA	Valid on audit day; name and address match	☐	
Approved building plan, structural and electrical safety documents	BLA 61 · BNBC 2020	Floors in use match the approval	☐	
Fire licence and fire safety plan	BLA 62 · Fire Prevention and Extinguishing Act	Renewed; equipment list matches site	☐	
Boiler registration and inspection certificate	Boiler Act 2022	In date; boiler location as approved	☐	
Environmental Clearance Certificate, ETP records	ECR 2023 rule 6	Valid; ETP running logs	☐	

Core documents B: hiring and the personnel file

Document	BLA	EPZ Act	Check	Ready	File / location
Appointment letter and ID card	5	6	Issued to every worker, in Bangla, with wage and grade	☐	
Service book and worker register	6–9	7, 8	Complete and up to date	☐	
Age proof (NID / birth registration) and photo	34, 36	175	BLA: no one under 14; age 14–18 only with a fitness certificate and token. EPZ: no one under 18	☐	
Recruitment policy; proof of no recruitment fees	3	—	No fees or deposits taken from workers	☐	
Termination, resignation and final settlement	20–27, 123(2)	19–23	Dues paid within 30 working days of separation (BLA)	☐	

Core documents C: wages, hours and leave

Document	BLA	EPZ Act	Check	Ready	File / location
Time cards, gate register, OT records	100–108, 113	38–49	8 h/day normal, max 10; 48 h/week normal, max 60, average 56/year; 1 day off a week	☐	
Payroll, pay slips, bank or MFS proof	121–125	26, 55–58	Paid within 7 working days of the wage period	☐	
OT calculation	108	45	2 × basic wage plus DA/ad-hoc, if any	☐	
Minimum wage gazette for the sector	148	70–71	Every grade at or above the gazette	☐	
Leave register	115–118	50–53	Casual 10, sick 14, earned 1 day per 18 worked; festival 13 days (BLA, 2026) or 11 days (EPZ)	☐	

Document	BLA	EPZ Act	Check	Ready	File / location
Maternity benefit records	45–50	29–33	60 + 60 days (BLA, 2026); 8 + 8 weeks (EPZ)	☐	
Group insurance, provident fund / WPPF	99, 234, 264	36	Where applicable by size and law	☐	

Core documents D: worker voice and conduct

Document	BLA	EPZ Act	Check	Ready	File / location
Participation Committee: election, minutes, follow-up	205–208	122–123	Required with 50+ workers (BLA); worker members elected, not nominated	☐	
Trade union / Workers Welfare Association records	176, 195, 202	94–123	No interference; no anti-union discrimination	☐	
Grievance procedure, box/hotline log, resolution records	33	28	Each complaint answered and closed on time	☐	
Discrimination, violence and harassment complaints committee	332, 332A, 345A	—	5 members, majority women, chaired by a woman, 2 members from outside organisations (BLA 332A)	☐	
Disciplinary records: inquiry, hearing, decision	23, 24	21	Due process followed; penalties as the law allows	☐	

Core documents E: health and safety

Document	BLA	Check	Ready	File / location
Safety Committee: formation, meetings, minutes	90A (EPZ: 35, Schedule 2)	Required with 50+ workers; meets regularly; acts on risks	☐	
Risk assessment and safety record book	90	Covers fire, electrical, chemical, ergonomic and machine risks	☐	
Fire drills, fire-fighter training, equipment inspection	62	Drill photos with date and time; evacuation time recorded	☐	
Chemical inventory, SDS, PPE issue records	77, 78A	SDS in Bangla at point of use; PPE issued and worn	☐	
Accident register and notification	81	Every accident recorded; serious ones notified as the law requires	☐	
First aid, canteen, childcare room, drinking water tests	89, 92, 94	Stocked, trained first-aiders; facilities sized to the workforce	☐	

Extra documents by standard

Document	WRAP	BSCI	SMETA	SLCP	BW	Ready	File / location
Customs compliance; security risk assessment, visitor and staff ID, container and cargo checks, IIT training	● (11–12)	○	○	○	○	☐	

Document	WRAP	BSCI	SMETA	SLCP	BW	Ready	File / location
Social management system; cascade effect to suppliers and subcontractors; anti-bribery and business ethics	○	● (PA 1, 13)	● (4-Pillar)	○	○	☐	
Management Systems Assessment; right to work; responsible recruitment; subcontracting and home-working	○	○	●	○	○	☐	
Facility profile; 12 months of accurate data; a document reference for every answer	○	○	○	●	○	☐	
Living-wage gap analysis and roadmap	○	● (PA 5)	● (ETI 5)	○	○	☐	
Environmental permits, energy, water and waste data and bills	● (10)	● (PA 12)	● (4-Pillar)	○	○	☐	
Bipartite committee minutes; improvement-plan evidence; Progress Report 1	○	○	○	○	●	☐	

3. Document file index (template)

Number the files in this order so the auditor can find each document in seconds

No.	Section	Documents inside	Owner	Last checked
1	Licences and permits			
2	Policies and procedures (Bangla, signed, dated)			
3	Personnel files and age proof			
4	Wages, payroll and bank/MFS records			
5	Time records, overtime and leave			
6	Worker voice: committees, minutes, grievances			
7	Health and safety: drills, training, inspections			
8	Environment and chemicals			
9	Subcontractors and supply chain			
10	Previous audits, CAPs and evidence of closure			
11	Training records			
12	Management review and internal audit			

4. Compliance calendar (12 months)

Copy the scheme deadlines into the right months first, then add renewals, drills and internal audit topics

Scheme deadlines to put in the calendar

Standard	Before the audit	After the audit	Date
WRAP	Registration valid 6 months; 4-week semi-announced window	Report in 10 working days; CAP evidence within 30 days; PCA any time	
amfori BSCI	Window starts ≥2 weeks after request, lasts ≥4 weeks	ZT alert in 24 hours; C–E: follow-up in 2–12 months (2–3 recommended)	
SMETA	Agree pillar, scope and dates with buyer and AAC	Follow-up as stated in the report (desktop or on-site)	
SLCP	Data covers the previous 12 months	Verification within 2 months of submission; disputes within 2 working days of on-site visit	
Better Work	Self-diagnosis in the first ~100 days; unannounced assessment in month 3–4	Report ~30 days later; Progress Report 1 in month 5; renewal in month 11–12	

Your 12 months

Month	Licence / permit renewals	Audits and follow-ups	Drills, committees, training	Internal audit topic
January				
February				
March				
April				
May				
June				
July				
August				
September				
October				
November				
December				

5. Monthly KPI sheet

KPI	Target	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
% of workers above 60 hours a week	0												
Wages paid on time (by the 7th working day)	100%												
Grievances closed within target days	100%												
Open CAP items past due	0												
Fire drills done (with time recorded)	per plan												
Committee meetings held with minutes	per plan												
Workers trained this month	per plan												
Licences expiring within 90 days without action	0												