



THE UNIVERSITY *of York*

## Effect of the UpSkill e-learning platform on the Awareness of Ethical Compliance

---

### Final Report



Annemarieke de Bruin<sup>1</sup> – [Annemarieke.deBruin@sei-international.org](mailto:Annemarieke.deBruin@sei-international.org)

Nilufar Matin<sup>1</sup>

Roberto Rinaldi<sup>1</sup>

August 2015

<sup>1</sup> Stockholm Environment Institute (SEI), Environment Department, University of York, YO10 5DD, York, UK

## Executive summary

The UpSkill e-learning and assessment platform developed by Green Grade Solutions (GreenGrade) is aimed at increasing the awareness of ethical compliance in ready-made garment factories in Bangladesh through an online self-paced learning process. Together with GreenGrade, UK, and the Natural Resources Institute at the University of Greenwich, UK, the Stockholm Environment Institute (SEI) at the University of York, UK, evaluated the UpSkill project. This report provides the results of this evaluation that was carried out using online surveys and personal interviews.

A total of 23 factories and 61 individuals participated in the baseline and evaluation process. Their roles ranged from managers of ethical compliance, human resources, or corporate sustainability, to senior executives and legal officers; some participants had been in their role for up to 15 years. On average more than 90% of the senior and mid-level employees in the factories were male, whereas among the workers the majority, 65%, were female. In the light of other inspection reports, the awareness of ethical compliance and the level of implemented measures present in the factories before participating in the UpSkill learning process cannot be reliably inferred from the baseline surveys.

The results of the Upskill e-learning platform evaluation show that it has:

1. **Helped participants to implement and improve the practice of ethical compliance procedures in their factories.** Among 23 individuals who participated in the personal interviews, 91% said they implemented or improved ethical compliance measures after using the e-learning platform. The measures improved included fire safety (22%), ensuring usage of safety guards in the factories (16%), handling of hazardous chemicals (16%), improving housekeeping (16%), improving awareness of floor workers through providing training to them (16%), improving workers' motivation in adhering to safety guidelines (6%) and implementing safe hygiene facilities for women workers (6%). Most of the respondents (75%) expressed clear intention to implement additional measures, but they noted that more time was needed to implement them to the full extent.
2. **Helped to create motivation among the management and staff to focus more on ethical compliance.** A majority (80%) of those interviewed mentioned that their managerial staff is now more motivated to implement ethical compliance measures. Use of the platform helped to create a critical mass to initiate new improved ideas and helped to create an atmosphere of renewed enthusiasm to implement ethical compliance measures.
3. **Delivered personal benefits.** Among the interviewees, 80% stated that the e-learning platform benefitted them personally. For example, 35% expressed that their level of knowledge had increased due the e-learning platform, 25% were subsequently given more job responsibilities which enhanced their influence, 10% experienced better job prospects, and 10% had received a pay rise. Only 20% did not report any direct personal benefits from having used the e-learning platform.
4. **Improved knowledge on ethical compliance or has helped to refresh existing knowledge.** Key lessons learned covered emergency and fire safety (28%), proper handling of hazardous materials (25%), housekeeping and hygiene (18%), workers' health and safety requirements (13%), and safe accommodation for the workers (8%).
5. **Helped users to respond to complaints and reduce the number of accidents.** About 85% found the e-learning platform helpful in responding to the complaints. Among those who reported reduction in factory accidents, approximately 64% believed that it was associated with an

increase in awareness and 36% believed that improved safety measures in the factories helped towards reducing accidents.

The e-learning platform covered different aspects of ethical compliance and the results of the evaluation show that people valued different parts of the e-learning platform. For example, in the evaluation survey of the pilot 24% of participants indicated they valued questions to do with housekeeping most, but 36% stated they valued that part of the e-learning platform the least. Similarly, for some the management system related questions were of most interest (36%), whereas others thought that these were least interesting (28%).

Participating in the UpSkill learning process has led to many positive impacts for the users and changes to ethical compliance in the factories. To improve ethical compliance in a factory, however, many other factors needed to be considered, as reflected in participant's answers to questions about the barriers to implementation or improvement of ethical compliance. For example, 20% of participants replied that the motivation of management and workers was not as strong as it should be to make the necessary changes in their factories and that teaching more staff about ethical compliance issues could potentially help overcome this barrier. A further 5% of participants mentioned that despite motivation from management the additional costs and time required to make the necessary changes were a barrier at the moment.

The wider social and political context could also affect the improvements in ethical compliance in the factories. However, when asked, factory workers stated that they had seen no unrest in 2013. Only two of the fourteen factories that participated in the evaluation process were closed down or affected by the hartals following the decision of the BGMEA. In the beginning of 2015, the political unrest and transport strikes could have affected the participants' ability and time to engage with the e-learning platform. However, those interviewed in May and June 2015 did not mention political unrest or hartals as barriers to how well they had been able to learn.

## 1. Introduction

The UpSkill project<sup>1</sup> introduced an innovative new learning process tailored towards ensuring worker welfare and safety, by building ethical compliance capacity in ready-made garment factories in Bangladesh. The UpSkill e-learning platform offered a methodology of ‘shuffled flow of questions’ to help users go through a range of topics related to ethical compliance. They included questions on subjects such as hygiene, fire safety and worker’s rights. Upon completion, users could opt in to do a final exam which would award them with a certificate of achievement to provide industry recognition.

To understand whether the e-learning process provided by UpSkill has led to an increased awareness and understanding of ethical compliance in the short and long term within these factories, the Stockholm Environment Institute (SEI in the following), at the University of York, UK, developed and undertook the monitoring and evaluation of the project with input from GreenGrade, UK, and the Natural Resources Institute (NRI) of the University of Greenwich, UK. NRI oversees the monitoring and evaluation of the larger ‘Trade in Global Value Chain Initiative’<sup>2</sup> or TGVCI program funded by the Department for International Development (DfiD) that UpSkill is a part of.

This report presents the results of the baseline and evaluation activities that were conducted between July 2014 and June 2015 with those factories in Bangladesh that signed up to the e-learning platform. It first describes the methodology and then presents the results covering: (i) an overview of participants and the types of factories that were engaged with (ii) how the e-learning platform has influenced the awareness of ethical compliance; (iii) the secondary benefits people felt they received through having used the e-learning platform; (iv) the impact of the improved levels of awareness on ethical compliance in the factories; and (v) the barriers and enabling factors to improve ethical compliance. The discussion and conclusions then bring out wider reflections on the methodology and results.

## 2. Methodology

The evaluation of the e-learning platform carried out by SEI was designed around a conceptual framework suggested by Meagher and Lyall (2013)<sup>3</sup>, that provides topics for questions to evaluate the influence of knowledge intermediaries (in this case represented by the e-learning platform). The baseline and evaluation process carried out entailed several surveys over the course of the project.

A pilot phase for the project took place during July-September 2014 and the project itself between October 2014 and June 2015. The pilot phase aimed to test and, where needed, improve the use of the e-learning platform and the surveys. The surveys and interview questions are available in the appendices 2a, 2b, 3, 4 and 5.

Figure 1 provides an overview of the engagement process with participants. In the pilot phase GreenGrade recruited individuals working at factories, who then signed up to the e-learning

---

<sup>1</sup> For more information about the project, please see documentation developed by GreenGrade and the project website: <http://upskill.greengrade.co.uk/>

<sup>2</sup> <http://www.tgvci.com/>

<sup>3</sup> Meagher and Lyall (2013). The invisible made visible: using impact evaluations to illuminate and inform the role of knowledge intermediaries. *Evidence & Policy: A Journal of Research, Debate and Practice*, Volume 9, Number 3, pp. 409-418(10)

platform. The participants were then sent an email by GreenGrade with an invitation to fill in an online survey designed by SEI about their individual awareness of ethical compliance. This survey also asked who would be able to answer more questions specifically about the factory. In some cases the same person would fill in the baseline factory survey, in other cases, another person at the factory filled in the factory survey. Participants were then given access to the e-learning platform by GreenGrade.

The baseline factory survey aimed to capture more background information about each factory, including information about staff absenteeism and expenditure on training. It was designed by SEI to specifically fulfil the information requirements set by NRI for the larger programme that UpSkill was part of (the TGVCI program).

Users of the platform then went through a self-paced learning process using the e-platform and if interested they could complete the process by doing a final exam. After the pilot phase ended, those who had participated in the baseline process of the pilot were invited to fill in SEI's post-pilot evaluation survey.

Based on the experience of the pilot phase, GreenGrade decided that for the launch of the project the participants would receive access to the e-platform first before being sent an email inviting them to fill in an individual baseline awareness survey. This decision reflected the fact that in the pilot some individuals signing up did not go on to use the platform, and GreenGrade decided that it was important for users to engage with the platform at the earliest opportunity. As in the pilot, individuals who filled out the baseline awareness survey were asked to fill out the factory survey or provide a contact in the factory to fill it out. Users of the platform also went through the self-paced learning process using the e-platform as in the pilot and those interested could take the final exam.

At the end of the project, the evaluation of the impacts of the UpSkill e-learning platform designed by SEI was carried out by the Environment and Population Research Centre (EPRC) in Bangladesh using personal evaluation interviews. From those who had participated in the baseline and evaluation process of the project a selection was made using a purposive sampling technique that took into account: (i) the size of factory, (ii) the time since the participant used the platform (whether they participated in the pilot or after the launch of the project), (iii) the gender of the participant and (iv) their willingness to engage in further conversations (as indicated by those who filled in the post-pilot evaluation survey). The aim was to understand the impact of the UpSkill platform on the ethical compliance awareness and implementation in a variety of different factories.

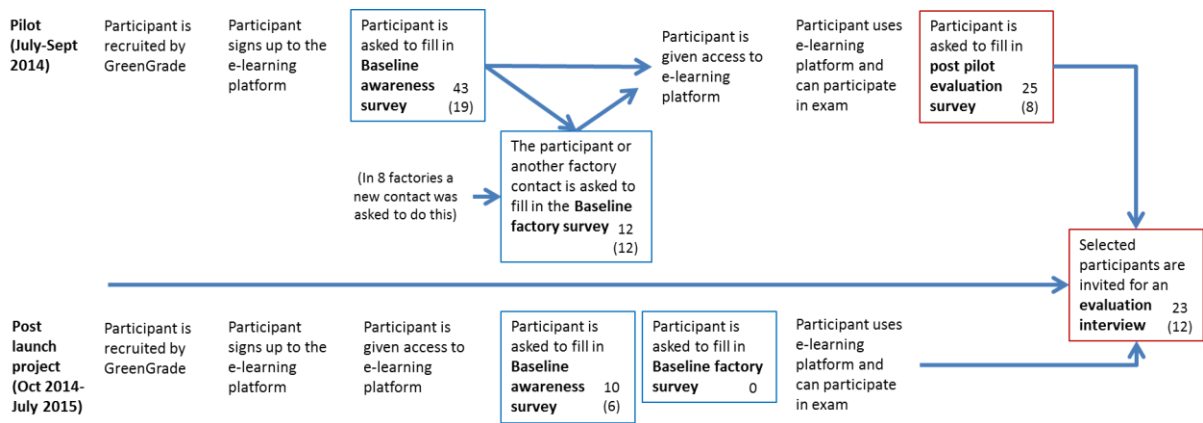


Figure 1: Overview of the UpSkill baseline and evaluation process during the pilot (July-Sept. 2014) and project phase (Oct 2014- July 2015). Blue boxes are baseline activities and red boxes are evaluation activities. The number of participants in each survey is indicated, with the number of factories participating in parenthesis.

### 3. Results

#### 3.1 Participants

In total 49 factories signed up to the UpSkill e-learning platform. Of the 49 factories, individuals from 23 factories participated in the surveys and/or interviews of the baseline and evaluation process of the UpSkill project as can be seen in Figure 1 and Table 1. The number of participants per factory ranged from 1 to 4 people who undertook at least one of the surveys or the evaluation interview. In total there were 61 unique individuals who participated in the process. Their roles ranged from managers of ethical compliance, human resources, or corporate sustainability, to senior executives and legal officers; some participants had been in their role for up to 15 years.

For the final evaluation interviews 44 individuals from 15 factories were asked to participate, resulting in 23 interviews representing 12 factories (Figure 1). This means that of those participants and factories who participated in the baseline and evaluation process of the UpSkill project, 38% of the participants and 52% of the factories took part in the final evaluation of the project. Of those who took part in the baseline process after the launch of the project 1 person participated in the evaluation interviews, which equals 10% of the participants.

Table 1: Number of participants and factories at different stages of the baseline and evaluation process

	Pilot phase			After launch of the project			Total
	Baseline awareness survey	Baseline factory survey	Post-pilot evaluation survey	Baseline awareness survey	Baseline Factory survey	Evaluation interviews	
Participants	43	12 (8 new part.)	25	10 (10 new part.)	0	23	61
Factories	19	12	8	6 (3 new fact.)		12 (1 new fact., 1 fact. did not fill in factory survey)	23

### **Lack of responses**

The baseline awareness survey asked who would be best placed to fill in another survey about the factory. This baseline factory survey was then sent to the contact person. Of those factories in which people participated in the surveys, about half of the factories submitted the factory survey. After the pilot no baseline factory surveys were received. Some participants who signed up to the e-learning platform after the launch of the project were employees of factories that had already filled in this survey and did not need to fill it in again. However, participants from factories that had not yet filled in the factory survey did not submit a survey about their factory. It is unclear why those factories did not fill in the factory survey.

At the end of the pilot, the evaluation of the e-learning platform was done with a post pilot evaluation survey and over half of those invited participated. At the end of the project the majority of those invited participated in the evaluation interview, but there were several who turned out to not have used the e-learning platform, which was surprising as they had put the effort in to fill in a survey. Others were unable to fit the interview into their work day and some had left the factory they had worked in when doing the e-learning platform and could therefore not be contacted.

### **3.2 Factories**

In total people from 23 factories participated in the baseline and evaluation process of the project as can be seen in Table 1. Most were part of the pilot (19 factories). After the launch of the project people from three additional factories participated, as well as additional people from three factories that had already participated in the pilot. During the interviews one person turned out to have changed factories after having accessed the e-learning platform. He reflected on the situation in the new factory which is why during the evaluation interviews another factory was added.

Of the 23 factories that participated in the baseline and evaluation process, 14 factories provided more details about their set up, policies and turnover through the baseline factory survey and parts of the evaluation interviews. Data from all 14 factories is presented in this report; however, two of these factories did not participate in the evaluation interview (factories 113 and 123). Two other factories participated in the evaluation interview but did not fill in a factory survey (115 and 136). This missing information in the tables is indicated by 'unknown'. In those cases where questions within a survey or interview were not answered, it is indicated by 'not available'. Why people did not respond to questions is mainly unclear except when people indicated that some of the information was considered confidential. This occurred especially with information around expenditure on insurance and training.

All 14 factories were export-oriented, but were different in terms of purpose, including a focus on apparel, knitting, silk design or dyeing. Most of the factories were located in Dhaka and the rest in Gazipur, Pabna, Chittagong districts in either a multi-purpose building or a multi-factory building. Some of the factories have existed since 1992 whereas others started more recently in 2010.

Table 2 shows the turnover in 2013 as submitted by the factories in the factory baseline survey and Table 3 the total number of employees as reported in the evaluation interview. The factories are very different in size in terms of turnover and number of employees. When looking at the turnover in 2013, which ranged from 9,500,000 to 5,443,150,083 Taka (or 122170 to 70000000 USD), and comparing these with the numbers of employees ranging from 700 to 3350 these figures do not all

seem correct. Due to the level of uncertainty associated with some of the submitted turnover data, further analyses will not be done using the turnover figures.

**Table 2: Turnover figures as reported in the Factory baseline survey**

Factory ID	Turnover in 2013 as submitted by participants in the survey	In taka (in bold converted currency)	In USD (in bold converted currency)	Total nr. of employees (reported in evaluation interview)
111	50 crore	500,000,000	<b>6,430,000</b>	810
113	Not available	-	-	Unknown
115	Unknown	-	-	700
117	₳1,405,600,000	1405,600,000	<b>18,076,016</b>	1550
119	₳1,500,000,000	1500,000,000	<b>19,290,000</b>	1425
120	₳1,84,00,000	18,400,000	<b>236,624</b>	2250
121	100 core	1000,000,000	<b>12,860,000</b>	1870
123	200 crore taka	2000,000,000	<b>25,720,000</b>	Unknown
124	120 million	120,000,000	<b>1,543,200</b>	1150
125	Ninety five lac taka	9,500,000	<b>122,170</b>	1200
128	₳500,000,000	500,000,000	<b>6,430,000</b>	1425
130	\$70 million USD	<b>5,449,150,083</b>	70,000,000	3350
133	1663200000	1,663,200,000	<b>21,388,752</b>	2500
136	Unknown	-	-	Not available

Table 3 presents the data from the RMG factories database in Bangladesh (<http://database.dife.gov.bd/factories>) collected by the Department of Inspection for factories and Establishments of the Ministry of Labour and Employment as well as data from the interviews. Despite some differences between the two sources of information, on average most factories employed more than 1000 staff in 2014. Also when looking at the data collected in the interviews, on average more than 90% of the senior and mid-level employees in all factories were male, whereas among the workers the majority, 65%, were female.



**Table 3: Number of managers and workers and literacy rate at the factories. 'No report' means that no report was available from the dept. of inspection for factories. 'Unreported' means a report was available, but the # of employees was not mentioned in the report.**

Factory ID	# of employees (as reported by the Dept. of inspection for factories)	# of managers in 2014 (from evaluation interview)	# of workers in 2014 (from evaluation interview)	Literacy rate (from evaluation interview)
111	Unreported	90 (F=10%, M=90%)	720 (F=70%, M=30%)	80%
113	No report	unknown	unknown	Unknown
115	347 (90 male, 257 female)	80 (F=10%, M=90%)	620 (F=70%, M=30%)	30 %
117	1180 (480 male, 700 female)	100 (F=30%, M=70%)	1450(F=60%, M=40%)	100%
119	No report	175 (F=8%, M=92%)	1250 (F=30%, M=70%)	90%
120	1772 (266 male, 1506 female)	150 (F=20%, M=80%)	2100 (F=80%, M=20%)	70%
121	2000 (1350 male, 650 female)	70 (F=5%, M=95%)	1800 (F=30%, M=70%)	70%
123	1600 (400 male, 1200 female)	unknown	unknown	Unknown
124	No report	50 (F=15%, M=85%)	1100 (F=65%, M=35%)	60%
125	No report	100 (F=7%, M=93%)	1100 (F=60%, M=40%)	90%
128	No report	175 (F=8%, M=92%)	1250 (F=30%, M=70%)	90%
130	571 (409 male, 501 female)	150 (F=5%, M=95%)	3200 (F=55%, M=45%)	100%
133	Unreported	250 (F=5%, M=95%)	2250 (F=80%, M=20%)	97%
136	No report	Not available	Not available	80%

An analysis of literacy rate in 2010 by the Bureau of Statistics<sup>4</sup>, found that when defining literacy as 'Can write a letter for communication', of those older than 7 years of age and living in rural areas, on average 57% of men and 51% of women were literate. The World Bank<sup>5</sup> reports similar data for 2013 where 60% of the total population older than 14 years of age was considered literate. In the interviews participants were asked to estimate the literacy rate in the factories following the question: how many can confidently read and write? When comparing the average literacy rate from the Bureau of Statistics with the literacy rate in Table 3 one factory has a remarkably low rate, with only 30% literacy, whereas the majority of factories estimated a higher than average literacy rate, with two even recording 100% literacy.

### **3.3 Impacts of the UpSkill learning process**

The following results present the effect of the UpSkill e-learning platform on participants and participating factories. Firstly, feedback that was directly about the e-learning platform is presented. The sections after this present the evaluation of the e-learning platform: changes in awareness of ethical compliance (looking at conceptual and attitudinal use of e-learning platform material); secondary benefits; and the impact of increased awareness (instrumental use of e-learning platform

<sup>4</sup> Industry and Labour Wing, Bangladesh Bureau of Statistics, Statistics Division, Ministry of Planning (2011). Report on the Bangladesh Literacy Survey, 2010.

<http://www.bbs.gov.bd/WebTestApplication/userfiles/Image/LatestReports/Bangladesh%20Literacy%20Survey%202010f.pdf>

<sup>5</sup> Literacy rate, adult total (% of people ages 15 and above) <http://data.worldbank.org/indicator/SE.ADT.LITR.ZS>

material). It then takes a larger view on the complexity of changing ethical compliance and presents the reflections of participants on barriers and enabling factors.

### ***3.3.1 Feedback on the e-learning platform itself***

The evaluation of the pilot provided a number of direct reflections on the system, the e-learning platform material and its usefulness. The majority (90%) of the participants who filled in the pilot evaluation rated the e-learning platform as excellent or good. The e-learning platform was accessed by participants using desktop-based computers and laptops available at the workplace and on-the-go devices such as tablets or smartphones. During the use of the UpSkill e-learning platform, seven people said they had encountered technological problems but these were solved satisfactorily by the UpSkill Customer Service. The UpSkill Customer Service was rated as excellent or good by all those who made use of this service.

Participants of the pilot evaluation thought that the following were particular advantages of using an online e-learning platform such as UpSkill: the availability and accessibility of the content (7 people) and the possibility to be awarded a certificate of achievement (5 people). They also mentioned the time and cost effectiveness of UpSkill. Participants in the evaluation interview also noted that it was good to have had the e-learning platform available online. They also liked that they could do it at their own pace.

The majority (91%) of the participants in the evaluation interview said that the e-learning platform had been useful. As one participant reflected: *“As I get more training, I gain more knowledge, and learn to implement this to ensure workers’ safety”*. They also reflected on the e-learning platform content and suggested that the e-learning platform could become even more useful if it would be updated over time as new regulations were put in place. The interviewees also mentioned that they would like further details on, for example, nutrition, medical support for staff, international regulations on fire safety, and how to become a ‘green factory’ through improved ethical compliance.

### ***3.3.2 Awareness of ethical compliance***

Before, or very near to the start of, the learning process, participants were asked to participate in the individual baseline awareness survey. The individuals that participated in the baseline process answered a set of questions about ethical compliance measures and whether the factory they worked at had already implemented a list of example measures that would later be introduced in the e-learning platform. The analysis of the responses suggests that all factories and participants had a high level of awareness of the measures mentioned in the survey (see Table 4) as they indicated that the majority of these measures had already been implemented in most of the factories.

**Table 4: Awareness of ethical compliance measures amongst the participants of the baseline awareness survey – those that are in place in the factory; that people had heard of; and those they thought could be implemented**

(57 participants)	(%) In place	(%) Heard off	(%) Could be implemented
<b>Dedicated senior manager</b>	96	4	2
<b>Internal risk assessment</b>	98	2	2
<b>Health and safety policy</b>	98	2	2
<b>Health and safety committee</b>	91	9	5
<b>Fire evacuation drill every quarter</b>	100	-	-
<b>Monitoring doors remain unlocked</b>	100	-	-
<b>Labour policies implemented</b>	100	-	-
<b>Checks that all employees are older than 15</b>	100	-	-
<b>All employees have a written contract</b>	98	2	2
<b>Documented grievance procedure</b>	95	5	4
<b>Democratically elected Workers Participation Committee</b>	70	30	19

Table 4 presents the self-reported levels of ethical compliance. To assess from a different source whether these measures were in place in the factories, participants were requested to send their audit reports to the researchers. However, no factory submitted an audit report, so this could not be done. Other evidence of ethical compliance was captured through the baseline factory survey which indicated that all 12 factories had a dedicated employee for ethical compliance and that an internal and/or external audit was done in 2013/2014. In the evaluation interview all 23 participants stated that they organised health and safety training for their floor workers regularly as part of their development programme using their own budget.

The inspection reports done by the Department of Inspection for Factories and Establishments of the Ministry of Labour and Employment do provide some insight into the fire safety measures. For 12 factories, out of the total 23 factories, the 2014 Summary Report of Building, Fire and Electrical Safety Assessments of RMG factories<sup>6</sup> is available online. These reports show that in all these 12 factories issues were found that needed to be immediately addressed regarding fire and electrical safety. In all reports it was recommended that locking features on doors should be removed or changed to an appropriate locking feature and comments were made about the storage and smoke alarms. These inspections were done in May-July 2014. The baseline assessment for UpSkill took place between September 2014 and May 2015. It can be that by the time the survey was sent out, the factories had indeed changed the situation with the doors and confirmed this in their responses to the survey. However, given the uncertainties, the answers to the baseline awareness survey should be taken as limited evidence.

The UpSkill e-learning platform covered a range of topics associated with ethical compliance: housekeeping and hygiene, emergency and fire safety, management system, the audit process, and documents and records. In the pilot evaluation survey, topics that participants found most interesting were: emergency and fire safety (9 people), management system (9 people) and

<sup>6</sup> Summary Reports of Building, Fire and Electrical Safety Assessments of RMG factories. Department of Inspection for Factories and Establishments of the Ministry of Labour and Employment <http://database.dife.gov.bd/reports/safety-assessment-reports>. [Accessed 26/08/2015]

housekeeping and hygiene (6 people). Interestingly when asked what modules people thought least interesting 9 other people mentioned housekeeping and hygiene and 7 people mentioned management systems. When in the evaluation interview people were asked what two things stood out from what they learned from the e-learning platform, 30% mentioned emergency and fire safety, 17% said the handling of hazardous materials, and 13% mentioned health and safety. Others said that they did not remember learning anything new. This suggests that the e-learning platform offered a wide range of material and was able to satisfy the heterogeneous needs of different factory management.

Of the 23 people who participated in the evaluation interview 8 people mentioned that their level of knowledge had increased due to the e-learning platform. Others felt the e-learning platform refreshed what they already knew from previous training they had undertaken. This may be related to why among the 23 people in the evaluation interviews six people had chosen not to do the exam.

All participants in the evaluation interview said they would support further learning about ethical compliance within their factory. They thought it important to improve the skill base of the entire work force, including the workers. They did highlight that they were well equipped to provide this training themselves, but the support of an external organisation such as GreenGrade and the UpSkill e-learning platform project would support their own efforts.

### 3.3.3 Secondary benefits

In the evaluation interview participants were asked whether participation in the UpSkill learning process led to personal benefits. Among the interviewees, 80% stated that the e-learning platform benefitted them personally. For example, 35% expressed that their level of knowledge had increased due the e-learning platform, 25% were subsequently given more job responsibilities which enhanced their influence, 10% experienced better job prospects, and 10% had received a pay rise. Only 20% did not report any direct personal benefits from having used the e-learning platform. As one participant in the interview mentioned: *“The management is now keen to know what I am doing – I am getting more importance, my responsibilities have increased, and I am prioritising workers’ safety in my work.”*

### 3.3.4 Impact of increased awareness of ethical compliance

In the evaluation interviews all 23 participants reported that they implemented or improved some measures of ethics and compliance after the using the e-learning platform. Table 5 shows which types of measures respondents had worked on so far.

**Table 5: Types of measures implemented or improved in the factories after using the e-learning platform (evaluation interviews)**

Type of measures	Number of respondents
<b>Improved Fire safety</b>	4
<b>Safety Guard use (100%)</b>	3
<b>Housekeeping</b>	3
<b>Chemical Handling (hazardous materials)</b>	3
<b>Awareness of Worker (training)</b>	3
<b>Worker Motivation</b>	1
<b>Personal Hygiene for women worker</b>	1

### **Effects of the e-learning platform on implementing ethical compliance measures**

The participants in the evaluation interviews mentioned a number of measures that they were able to implement following the e-learning process. When asked to specify what had specifically helped them to implement these measures people provided these narratives of change:

*“The training helped me understand why it [safety guard for workers] is important to the workers. I became committed to this and have done it. The management also cooperated in this effort”* - A safety guard measure was present in one of the factories before access to the e-learning platform, but it was improved to 100% after the e-learning platform had been used.

*“The learning process made me aware that if the work floor is not cleaned regularly, there are more risks of fire. So I am paying greater attention to this now. The work floor is kept cleaner, more so after the training. Every day in the morning and afternoon the floor is cleaned, any cut pieces of clothes straying on the floor are removed. The management and junior workers both work towards this. In order to create a safer work floor, the factory has now reduced 3 rows of machines to 2 rows, so it is easier to keep the floor clean.”*

*“I have initiated improvements on emergency exits, and introduced fire doors. Other initiatives that I have started are to reduce the pollution and temperature in the drying sections of the factory using improved new technology.”*

*“I helped improve the wiring systems and thus reduced the risks. The workers cooperated, the management helped in doing this. I received the guidelines from the training.”*

*“After the training, I have initiated personal contacts with the floor workers, particularly, the female workers. This has helped in openly sharing their problems, and I am trying my best to solve them. My supervisor has also taken this training, so I get all the cooperation I need.”*

*“My supervisor also undertook the same training, so they are helping me implement the training; I get all the support now. After the training I am more aware of the needs for health and safety of the women workers. Now I discuss issues with them personally, and try to solve them”.*

*“We know most of what is there in the training, but often do not implement them. The training helped us refreshing the knowledge. Thus it helps the implementation. Our HR and Welfare Team cooperate to implement the training. The training helped us to work towards motivating the workers. They now feel more responsible, so absenteeism has decreased, and production increased”*

*“I work on effluent treatment plant in the garment washing section of the factory. The chairman of the factory is interested in hazardous material safety and environmental improvement. The training helped to refresh what I knew on this issue, so it helped in implementing them. I also want to work with day child care. The management has approved the plan, and it is in the process of implementation. I have made posters on health and safety issues for all to see in the factory. This has helped to clean the work environment.”*

Specifically the management of hazardous materials improved:

*“Although we knew the importance of keeping hazardous material safe, after the training we have improved the system following the training guidelines.”*

*“Earlier, we used to keep the chemicals together, after the training; I have started keeping them separately to keep them safe.”*

*“I have tried to improve the safety of the work environment through reducing dusts, and introducing safe keeping of hazardous chemicals.”*

*“I have ensured the efficient use of effluent treatment plant. I am also working to ensure safety in handling hazardous chemicals.”*

These reflections seem to indicate that the e-learning platform has had some positive impacts soon after people completed the e-learning platform in a wide range of aspects to do with ethical compliance.

### **Accidents**

In the baseline factory survey people did mention the number of accidents that happened in 2013. In 6 factories from 1 to 32 accidents (occurrences at work leading to physical or mental harm) were registered in 2013. In the evaluation interviews, however, participants said that no accidents had been reported since they had used the e-learning platform. They thought that the increased awareness of health and safety resulted in preventing accidents. As explained by a few participants:

*“There has been no accident in this factory. The training helped to create awareness in this respect.”*

*“Since the factory was established, no accidents took place. After the training, we are more aware of the safety regulations.”*

*“After the training, the safety management has improved, and thus the risks have reduced.”*

*“I have passed on my new knowledge from the training to the floor workers. They are now more aware and thus the risks are reduced.”*

### **Dealing with complaints**

In some factories management put in place more opportunities for workers to make suggestions or complaints. Most of those interviewed (83%) said that they had found the UpSkill Learning program helpful in responding to the complaints; the others did not notice a change. A few highlights from the interviews:

*“After the training, we recognised that discussions in persons can help identify individual problems, and help solving them.”*

*“I have tried to ensure personal safety as well as a healthy environment for women workers and paying more attention to their demands.”*

*“After the training the management is taking workers’ complaints more seriously, and the staff responsible tries to solve them.”*

*“Now we are more careful listening to complaints, and try to solve them as soon as possible.” “After the training the management pays more attention to workers’ complaints.”*

### 3.3.5 Barriers and enabling factors to improving ethical compliance

In the post-pilot evaluation survey, the participants noted a number of factors that were termed as barriers to improving ethical compliance in their respective factories. These included: Low level of awareness and knowledge of the management and the workers; lack of education of the floor workers; pressure of production, e.g., meeting deadlines under pressure sometimes takes away the attention needed for training on ethical compliance; poor living conditions of the workers; lack of government support for compliance; worker unrest; frequent turnover of the workforce; attitudinal and behavioural problems that hinder compliance; lack of proper guidelines and follow up of health and safety procedures; lack of finance for making changes in the factory environment.

The evaluation interview sought to check if the enabling conditions for improving ethical compliance that emerged from the previous post-pilot evaluation were agreed or disagreed to by the participants. The enabling factors that emerged were listed as follows:

Enabling factors	
<p><b>Rewards</b></p> <ol style="list-style-type: none"> <li>1. Bonus for employees</li> <li>2. Activities related to CSR and social compliance</li> </ol> <p><b>Social Support (Relationship, co-creation)</b></p> <ol style="list-style-type: none"> <li>3. Improving relations between workers and management</li> <li>4. Ensuring workers' voices are heard by the management</li> </ol> <p><b>Identity and self-belief</b></p> <ol style="list-style-type: none"> <li>5. Mentality and attitude to compliance</li> <li>6. Belief of the Management Staff in the importance of health and safety issues</li> <li>7. Awareness and motivation of Staff</li> <li>8. Awareness of workers about their safety</li> </ol>	<p><b>Shaping knowledge (Training)</b></p> <ol style="list-style-type: none"> <li>9. Training for awareness raising of workers</li> <li>10. Training to increase skills of staff who handle the compliance issues</li> <li>11. Training for continual improvement in management system</li> </ol> <p><b>Regulation (Procedural improvement)</b></p> <ol style="list-style-type: none"> <li>12. Implementing labour policies through factory procedures</li> <li>13. Carrying out internal risk assessment</li> <li>14. Regular fire evacuation drill</li> </ol> <p><b>Monitoring</b></p> <ol style="list-style-type: none"> <li>15. Formulating correct/right health and safety monitoring procedure</li> <li>16. Strong implementation of health and safety monitoring by managers</li> </ol>

There was almost unanimous agreement on the above factors, except for some disagreement on the provision for bonus for the employees.

In the evaluation interview, respondents were asked to specifically reflect on barriers towards implementing what they learned from the Upskill e-learning platform.

*“We have taken initiative to improve fire safety. However, as the building is old, it is difficult to use new technology in this premise. Also adapting to new technology is expensive. So it is taking time.”*

*“We have implemented safety regulations on dust and hazardous chemical management. I would like further to introduce silencers for the power generators to reduce noise pollution. Also, I want to create a water garden in the factory premise to cool the ambient temperature of the factory. The management is cooperating, but it would cost substantial amount of money, so needs time.”*

*“I want to improve housekeeping. Since the training, I am focusing more on health and safety, e.g., using masks against dust, and using other guards for safety. The workers don’t have much understanding of the labour laws, and they are kept busy with production, so making them compliant of these safety measures is an impediment.”*

But some individuals reflected that no barriers were in place to improve ethical compliance:

*“I want to implement recycling of the water discharged from the effluent treatment plant. We have bought some equipment for testing water. It is still under experiment. There is no barrier to implement; the management is cooperating on this.”*

*“I have introduced fire doors in the factory. I would like to improve the fire alarm system. We have already got quotations from various suppliers on this. So the process has started, there is no barrier.”*

As the above quotes reveal, given the time lapse between the e-learning platform and evaluation interviews, there is a clear difference in participants’ responses with regard to barriers. The time has allowed many of the participants to start implementing the knowledge gained from the e-learning platform. Also, the e-learning platform seems to have created the needed motivation among the staff to focus more on ethical compliance. It has also sensitised the management hierarchy who now seem more willing to cooperate in making the changes.

## **4. Discussion**

The surveys and interviews carried out by SEI measured the different types of influence of the UpSkill e-platform on the awareness and implementation of ethical compliance measures using the conceptual framework of Meagher and Lyall (2013). This report presents findings about the changes in ethical compliance related to conceptual use (e.g. increase in awareness), instrumental use (e.g. implementation of measures), and attitudinal change (e.g. managerial support for ethical compliance).

### **4.1 Using the e-learning platform**

Overall, participants thought that using the e-learning platform was a good experience. They appreciated that it covered different aspects of ethical compliance and the results of the evaluation show that people valued different parts of the e-learning platform. This reflects the diverse training needs of those in charge of ethical compliance.

### **4.2 Awareness of ethical compliance**

The post pilot survey and final evaluation interviews show that the UpSkill e-learning platform increased the awareness of ethical compliance in all of the participants. Those interviewed said that the e-learning platform had improved their knowledge or had helped to refresh existing knowledge from previous training events.

During the launch of the UpSkill project in London the preliminary results of the pilot baseline and evaluation surveys were presented. The data showed that participants reported high levels of awareness of ethical compliance measures in the baseline awareness survey. People at the launch questioned the quality of these responses in light of their own experiences of working with RMG factories in Bangladesh. The reports of the Department of Inspection raised a similar concern. As



such one can conclude that the awareness of ethical compliance and the level of implemented measures cannot be reliably inferred from the baseline surveys.

The evaluation of the UpSkill e-learning platform was not a direct comparison of the level of awareness before the e-learning platform and after. The evaluation interview aimed to get a deeper understanding of how the e-learning platform had contributed to ethical compliance in the factories and asked specifically what people had learned from it and if it had contributed to changes made in the factory. In this way the quality of the responses in the baseline awareness survey did not influence the overall evaluation of the UpSkill platform.

#### ***4.3 Secondary benefits***

The majority (78%) of those who participated in the interview stated that it had benefitted them personally. Some now had more job responsibilities; some thought they had better job prospects; and some had received a pay rise. The advantage of this for the UpSkill process is that the employees who benefit personally may often act as champions for ethical compliance and can accelerate the processes of awareness raising and implementation.

#### ***4.4 Impact of increased awareness of ethical compliance***

The Upskill e-learning platform has helped participants to implement and improve the practice of ethical compliance measures in their factories. Among the 23 individuals interviewed, 91% said they implemented or improved ethical compliance measures after the e-learning platform. Those interviewed also stated that they were better able to respond to complaints and no accidents had occurred since their exposure to the e-learning platform.

The monitoring and evaluation work focused on those individuals and factories who did participate in the UpSkill learning process. Therefore, no comparison was possible between factories that had used the e-learning platform and those that had not. However, respondents made a direct link between the improved ethical compliance in their factories and the learning process of UpSkill.

#### ***4.5 Barriers and enabling factors to improving ethical compliance***

Participating in the UpSkill learning process has led to many positive impacts for the users and changes to ethical compliance in the factories. To improve ethical compliance in a factory, however, many other factors needed to be considered, as reflected in participant's answers to questions about the barriers to implementation or improvement of ethical compliance. In addition it helped create motivation among the management and staff to focus more on ethical compliance. A large number of respondents (80%) mentioned that their managerial staff is more motivated to implement ethical compliance measures. In factories where more staff members participated in the e-learning platform, some participants said that this helped to create a critical mass to initiate new improved ideas.

However, 20% of participants replied that the motivation of management and workers was not as strong as it should be to make the necessary changes in their factories and that teaching more staff about ethical compliance issues could potentially help overcome this barrier. A further 5% of participants mentioned that despite motivation from management the additional costs and time required to make the necessary changes were a barrier at the moment.

The changes in the social and political situation in Bangladesh over the time of the UpSkill project have likely influenced the uptake of the UpSkill e-learning platform, but it is unclear in what way.

However, when asked, factory workers stated that they had seen no unrest in 2013. Only two of the fourteen factories that participated in the evaluation process were closed down or affected by the hartals following the decision of the BGMEA and the labour strikes at that time. In 2015 the changes in the political context and transport might have affected the participants' ability and time to use the e-learning platform, as well as the consequent implementation of measures that were relevant to their factory. However, those interviewed in May and June 2015 did not mention political unrest or hartals as barriers to how well they had been able to learn or that either reason had effected the implementation of any ethical compliance measures.

#### **4.6 The validity of the research**

The purposive sampling approach ensured that participants worked at different factory sizes, and included both men and women. Those that participated in the pilot phase of the project had time to implement some of the measures they had learned about from using the e-learning platform. Therefore, those who participated in the evaluation activities were users who could answer questions about how the e-platform learning process had enhanced (a) their knowledge and (b) their ability to implement ethical compliance measures.

The purposive sampling approach used a non-proportional quota sampling. This means that the aim was to recruit at least 1 individual of each type (men and women of different size factories, who had used the e-learning platform in the pilot and after the launch of the project). Of the 44 people selected by SEI, 23 individuals agreed to participate in the evaluation interview and together they met the sampling requirements. These 23 respondents in the evaluation interview represent 37% of the participants who participated in the baseline and evaluation process of the platform. They also came from 11 factories, representing 52% of the factories that participated in the baseline and evaluation process.

Participants of the evaluation interviews clearly stated that the e-platform had increased their knowledge on ethical compliance and ability to implement changes. Thus, the changes in the dependent variables, i.e., knowledge of ethical compliance and ability to improve ethical compliance, can be associated with the independent variable, i.e., the e-platform learning process. The validity of this argument is agreeably weaker than an experimental research design, for example in a lab to exclude any other factors influencing the dependent variables. However, as the large majority of those who participated in the evaluation interview clearly stated to have gained positive impacts from using the e-learning platform, the argument remains strong. By delving deeper into actors' reasons and beliefs the interviews not only provided a socially valid judgement for the claims made, they also explored the reasons for it.

## **5. Conclusions**

Users of the UpSkill e-learning platform found the overall experience motivating and the e-learning platform was seen as very useful. The UpSkill e-learning platform and process:

- Helped participants to implement and improve the practice of ethical compliance procedures in their factories. Users had already implemented or improved ethical compliance measures after using the e-learning platform. Most of the respondents expressed clear intention to implement additional measures, but they noted that more time was needed to implement them to the full extent.

- Helped to create motivation among the management and staff to focus more on ethical compliance. A majority of users mentioned that their managerial staff is now more motivated to implement ethical compliance measures. Use of the platform helped to create a critical mass to initiate new improved ideas and helped to create an atmosphere of renewed enthusiasm to implement ethical compliance measures.
- Delivered personal benefits. The e-learning platform benefitted users personally, for example in terms of increased knowledge, more job responsibilities, better job prospects, and a pay rise.
- Improved knowledge on ethical compliance or has helped to refresh existing knowledge.
- Helped users to respond to complaints and reduce the number of accidents.

### *Future research*

This evaluation only captured the short term impact of the UpSkill platform on the ethical compliance in the participating factories. Further research is needed to understand the long term impact of the UpSkill learning process, which will allow observations to be made on impacts such as changes in insurance levels, staff turnover, and further reductions in accidents.

## **6. Acknowledgements**

We thank the participants for their time for filling in the surveys, participating in the interviews and for reflecting on the ethical compliance in their factories. We also thank Anneysa Ghosh, Udaya Nanayakkara, Maher Anjum and Sharon Sadeh for their support and Environment and Population Research Centre (EPRC) for conducting the interviews. UpSkill is a project led by GreenGrade and partially funded by the United Kingdom Department for International Development (DfID).

## Appendix 1: Factory related observations

This appendix presents the factory related data gathered in the baseline and evaluation process for indicators set by NRI:

Indicator	Section
Insurance expenditure per factory per year	Ap 1.2
Monetary value invested in training per year	Ap 1.3
No. of factories with adverse press/media report	Ap 1.4
Annual cost of auditing	Ap 1.5
Level of compliance: No. of compliances/non-compliances identified in audit reports for corporate codes of sustainability standards	Ap 1.6
No. of days of staff absence from work per month; Number of workers absent from work with no authorisation	Ap 1.7
No. of days sick leave per month by job category	Ap 1.7
Number of accidents/injuries recorded for workers (male and female)	Ap 1.9

The short timeline of the UpSkill learning process meant that participating individuals and factories had less than a year between the completion of the e-learning platform and any consequent changes in measures. As is described in the section about impacts of increased awareness, some factories made changes and implemented some measures during this period. This will have a positive effect on ethical compliance of the factory as a whole, however it is too early to measure change in indirect effects such as in turnover, insurance expenditure, or for example absenteeism of staff. Therefore what follows in this section and which was agreed with NRI, is a baseline of a number of indicators, which can then be measured at a later stage in the larger TVGCI program that NRI is coordinating to observe any changes in these figures.

### Ap 1.1 Size of the factories

Table 6 shows the turnover in 2013 as submitted by the factories in the factory baseline survey and Table 3 the total number of employees as reported in the evaluation interview. The factories are very different in size in terms of turnover and number of employees. When looking at the turnover in 2013, which ranged from 9,500,000 to 5,443,150,083 Taka, and comparing these with the numbers of employees ranging from 700 to 3350 these figures do not all seem correct. Due to the level of uncertainty associated with some of the submitted turnover data, further analyses will not be done using the turnover figures.

Table 6: Turnover figures as reported in the Factory baseline survey

Factory ID	Turnover in 2013 as submitted by participants in the survey	In taka (in bold converted currency)	In USD (in bold converted currency)	Total nr. of employees (reported in evaluation interview)
111	50 crore	500,000,000	<b>6,430,000</b>	810
113	Not available	-	-	Unknown
115	Unknown	-	-	700
117	₹1,405,600,000	1405,600,000	<b>18,076,016</b>	1550
119	₹1,500,000,000	1500,000,000	<b>19,290,000</b>	1425
120	₹1,84,00,000	18,400,000	<b>236,624</b>	2250
121	100 core	1000,000,000	<b>12,860,000</b>	1870

123	200 crore taka	2000,000,000	<b>25,720,000</b>	Unknown
124	120 million	120,000,000	<b>1,543,200</b>	1150
125	Ninety five lac taka	9,500,000	<b>122,170</b>	1200
128	₹500,000,000	500,000,000	<b>6,430,000</b>	1425
130	\$70 million USD	<b>5,449,150,083</b>	70,000,000	3350
133	1663200000	1,663,200,000	<b>21,388,752</b>	2500
136	Unknown	-	-	Not available

### Ap 1.2 Insurance expenditure

All 14 factories spent money on insurance but in some cases this information was considered confidential and therefore not available for analysis as can be seen in Table 7. In 2013 the insurance expenditures varied from 290 thousand Taka to more than 689 million Taka.

Table 7: Employee related-, Factory- and Total insurance expenditure in 2013

Factory ID	Turnover in 2013 as submitted by participants in the survey	In taka (in bold converted currency from USD)	Employment Insurance expenditure in 2013 as submitted by participants in the survey	Factory Insurance expenditure in 2013 as submitted by participants in the survey	Total insurance expenditure
111	50 crore	500,000,000	90000	200000	<b>₹290,000</b>
113	Not available	-	1 lac taka per person	Fire- tk.2,30,00,000/=, Burglury+Flood- tk.20,00,000/=	<b>₹25,000,000</b>
115	Unknown	-	-	-	<b>Unknown</b>
117	₹1,405,600,000	1,405,600,000	25000	7000000	<b>₹7,025,000</b>
119	₹1,500,000,000	1,500,000,000	Group Insurance is done in BGMEA and the data is confidential	approx. 25 lacs	<b>₹2,500,000</b>
120	₹1,84,00,000	18,400,000	97000	80000000	<b>₹80,097,000</b>
121	100 core	1,000,000,000	97000/-	600000/-	<b>₹697,000</b>
123	200 crore taka	2,000,000,000	100000	2500000	<b>₹2,600,000</b>
124	120 million	120,000,000	97000	1360000	<b>₹1,457,000</b>
125	Ninety five lac taka	9,500,000	25,000/-+25,000/- =50,000/-	6,89,097000/-	<b>₹689,147,000</b>
128	₹500,000,000	500,000,000	confidential and as per local law	Confidential	<b>Not available</b>
130	\$70 million USD	<b>5,449,150,083</b>	4 lac taka	life insurance	<b>₹400,000</b>
133	1663200000	1,663,200,000	400000 (for 02 workers)	97000	<b>₹497,000</b>
136	Unknown	-	-	-	<b>unknown</b>

In terms of specific types of insurance Table 8 presents factory-related insurance and employee-related insurance. For those factories that provided this information, all spent money on employee and factory insurance in 2013. Some of this information was considered confidential however and therefore not available for analysis. The amount of insurance per person employed at the factory

ranges from 16.13 Taka to 160 Taka. The wide range of employee-related insurances expenditure is not correlated with the total number of employees working in a factory.

**Table 8: Factory related and employee related insurance expenditure in 2013**

Factory ID	Total no. of employees	Factory-related insurances (₳)	Employee-related insurances (₳)	Employee-related insurances (Tk/person)
111	810	₳200,000	₳90,000	₳111.11
113	350	₳25,000,000	₳10,000	₳28.57
115	700	unknown	unknown	unknown
117	1550	₳7,000,000	₳25,000	₳16.13
119	1425	₳2,500,000	Not available	Not available
120	2250	₳80,000	₳97,000	₳43.11
121	1870	₳600,000	₳97,000	₳51.87
123	1405	₳2,500,000	₳100,000	₳71.17
124	1150	₳1,360,000	₳97,000	₳84.35
125	1200	Not available	₳50,000	₳41.67
128	1425	Not available	Not available	Not available
130	3350	Not available	₳400,000	₳119.40
133	2500	₳97,000	₳400,000	₳160.00
136	Not available	unknown	unknown	unknown

### **Ap 1.3 Training expenditure**

Not all factories reported that they spent money on training of workers and managers. Table 9 provides an overview of how much the factories spent on training of workers and managers. One factory reported that it had not spent anything on training workers and two reported that no money was spent on training managers. When these figures are recalculated to how much this is per person in each of the roles – workers and managers - this ranges for workers from 0 to 1200 Taka and for managers from 0 to 6000 Taka. Except for three factories all others spent more money per person on training of managers than on training for workers.

Table 9: Factory expenditure on training for workers and managers in 2013

Factory ID	Training of workers (as reported in survey)	Training of workers expenditure (₹)	No. of workers	Training of workers expenditure (₹/worker)	Training of managers (as reported in survey)	Training of manager expenditure (₹)	No. of managers	Training of workers expenditure (₹/manager)
111	None	₹0	720	₹0	20000	₹20,000	90	₹222
113	45000/=	₹45,000	Unknown	Unknown	n/a	Not available	unknown	Unknown
115	-	-	620	-	-	-	80	-
117	500000	₹500,000	1450	₹345	600000	₹600,000	100	₹6,000
119	Taka 15 lac	₹1,500,000	1250	₹1,200	10	₹1,000,000	175	₹5,714
120	1,70,000	₹170,000	2100	₹81	No	₹0	150	₹0
121	50000/-	₹50,000	1800	₹28	0	₹0	70	₹0
123	50000	₹50,000	Not available	Not available	100000	₹100,000	Not available	Not available
124	15000	₹15,000	1100	₹14	10000	₹10,000	50	₹200
125	6,00000/-	₹600,000	1100	₹545	50,000/-	₹50,000	100	₹500
128	15 lac	₹1,500,000	1250	₹1,200	6 lac	₹600,000	175	₹3,429
130	100000	₹100,000	3200	₹31	40000	₹40,000	150	₹267
133	300000	₹300,000	2250	₹133	200000	₹200,000	250	₹800
136	-	-	-	-	-	-	-	-

#### ***Ap 1.4 External communication (I5 - no. of factories with adverse press/media report)***

The baseline and evaluation process did not contain an assessment of media coverage. However participants in the evaluation interviews were asked whether the factory had communicated to others that employees had completed the e-learning platform process. They reflected that the audit process is done by external organisations, so the auditing process was not impacted by the e-learning platform. However, during the auditing process, the auditors were informed of staff who participated in the UpSkill e-learning platform. In some cases factories reflected that they thought that providing this information to the auditors had contributed to getting more orders or more buyers.

#### ***Ap 1.5 Cost of ethical compliance auditing (I6)***

All factories carried out an internal assessment or had an external audit of ethical compliance in the last year. In the baseline factory survey factories were asked how much they spent on audits. Table 10 shows the amount as well as the percentage of this expenditure in relation to the turnover. Factories spent between 50 thousand Taka and 1 million Taka on audits.

**Table 10 – Factory ethical compliance auditing expenditure in 2013**

<b>Factory ID</b>	<b>As reported in the survey</b>	<b>Cost of auditing (₹)</b>
<b>111</b>	300000	₹300,000
<b>113</b>	n/a	Not available
<b>115</b>	-	unknown
<b>117</b>	550000	₹550,000
<b>119</b>	4 lac	₹400,000
<b>120</b>	3,77,000	₹377,000
<b>121</b>	5,00,000/-	₹500,000
<b>123</b>	1000000	₹1,000,000
<b>124</b>	350000	₹350,000
<b>125</b>	2,50,000/-	₹250,000
<b>128</b>	6 lac	₹600,000
<b>130</b>	0	Not available
<b>133</b>	50000	₹50,000
<b>136</b>	-	unknown

#### ***Ap 1.6 Compliance [I7 and I8]***

Chapter 3 describes the different dimensions of ethical compliance and how the e-learning platform has influenced these. In summary, the ethical compliance awareness within those factories that participated in the evaluation process increased as participants said their understanding of ethical awareness was improved or the e-learning platform reaffirmed knowledge they already had. The



increased awareness led to a number of factories implementing or improving a number of ethical compliance measures. Overall from the responses from those working at the 12 factories that participated in the evaluation interviews it can be concluded that the ethical compliance in these factories increased due to the participation of staff in the e-learning platform.

***Ap 1.7 Employee absenteeism and assigned leave [I9-I16]***

The baseline factory survey asked factories what information factories collected on absenteeism. The responses are shown in Table 11. Factories do collect information about their staff absenteeism and this information is mostly collected daily and sometimes collected by using dedicated software, such as a daily attendance card.

**Table 11 – Workers absenteeism**

<b>Factory ID</b>	<b>Does the factory collect information about workers absenteeism?</b>	<b>Type of data the factory collect about workers absenteeism</b>
<b>111</b>	Yes	How many days not working
<b>113</b>	Yes	How many days not working
<b>115</b>	Unknown	Unknown
<b>117</b>	Yes	Not available
<b>119</b>	Yes	How many days not working
<b>120</b>	Yes	How long was the person missing and why
<b>121</b>	Yes	How many days not working (daily attendance card & Log in log out register)
<b>123</b>	Yes	Through absenteeism data tracker
<b>124</b>	Not available	Not available
<b>125</b>	Yes	Route cause Analysis
<b>128</b>	Yes	How many days not working
<b>130</b>	Yes	Software database, maximum 10
<b>133</b>	Yes	Days of absence of the year
<b>136</b>	Unknown	Unknown

Table 12 shows for each factory the average number of days that staff was absent in 2013.

**Table 12 – Days and percentage of workers absenteeism**

Factory ID	Average number of days staff were absent in 2013
<b>111</b>	15
<b>113</b>	5
<b>117</b>	8
<b>119</b>	unknown
<b>120</b>	18
<b>121</b>	7
<b>123</b>	4
<b>124</b>	5
<b>125</b>	64
<b>128</b>	unknown
<b>130</b>	4
<b>133</b>	5

The factories were also asked what leave staff is entitled to for holidays and sick leave. The sick leave is unanimously equal to 14 days, while maternity leave is 112 days in 11 factories, except in one case it is 169 days. It emerged that there is no substantial differentiation between female and male employees. Table 13 shows there is no difference between managers entitled leave allowance and workers allowance, except in one case where managers do not have any earned holiday in addition to the sick leave and national holidays allowance, while general workers have an extra 21 days.

**Table 13 – Entitled leave for managers and workers**

Entitled leave for managers (days/yr)	No. of factories	Entitled leave for workers (days/yr)	No. of factories
21	5	21	6
20	2	20	2
17	3	17	3
0	1		

### ***Ap 1.8 Comments and complaints procedures***

In the baseline factory survey some factories seemed to engage more with staff resulting in somewhat fewer complaints than in other factories. The suggestion box each month resulted between none to 15 comments received. Of those factories that had a complaints and grievances register, they recorded between up to 12 complaints and grievances.

### ***Ap 1.9 Accidents***

In the factories that participated in the evaluation interview the increased awareness of health and safety meant that accidents (occurrences at work leading to physical or mental harm) had not been reported since the staff participated in the e-learning platform. In the baseline factory survey people

did mention the number of accidents that happened in 2013, as shown in Table 14 **Error! Reference source not found.** In 6 factories accidents were registered in 2013 ranging from 1 to 32.

**Table 14 – Accidents (occurrences at work leading to physical or mental harm) in the factory in 2013**

Factory ID	Accidents	No. of workers	Average accidents (accidents/worker)
111	14	720	1.94%
113	unknown	unknown	unknown
115	Not available	620	Not available
117	Not available	1450	Not available
119	2	1250	0.16%
120	1	2100	0.05%
121	15	1800	0.83%
123	Not available	N/A	Not available
124	32	1100	2.91%
125	2	1100	0.18%
128	3	1250	0.24%
130	Not available	3200	Not available
133	5	2250	0.22%
136	unknown	unknown	unknown

## Appendix 2a: Baseline Awareness survey

This survey was developed in English and Bangla using Survey Monkey. The system also creates an interactive pdf of the survey that people can fill in offline. The following screenshots are first from the offline pdf of the baseline awareness survey in English (Appendix 2a), and in Bangla (Appendix 2b). The survey was sent to all individuals of the pilot and post-launch project who signed up to the UpSkill e-learning platform (more details in chapter 2).

### Appendix 2a: English baseline Awareness survey

#### UpSkill project - Ethical Compliance Awareness Survey (EN)<br>

##### Introduction to the survey

This survey was developed as part of the UpSkill project. This is a project led by GreenGrade ([www.greengrade.co.uk](http://www.greengrade.co.uk)) and funded by the United Kingdom Department for International Development (DfID) with the aim to increase the awareness of ethical compliance in factories in Bangladesh. The Natural Resources Institute (NRI) of the University of Greenwich is responsible for evaluation of the program that the UpSkill project is part of.

In this survey we want to find out whether you are aware of ethical compliance and how it has been implemented in your factory. Please fill this in before you go through the training material developed by Greengrade. Shortly after the training we will be in touch again and ask you to do a similar survey to see whether your awareness has changed. In this survey we ask you some details about yourself and the factory, then a few questions on a number of measures/activities to improve ethical compliance, and lastly about what helped this factory to implement some measures and what has made it more difficult to implement these measures.

The results of this survey will be stored and analyzed by the Stockholm Environment Institute (SEI – [www.sei-international.org](http://www.sei-international.org)). The project report will not include your name or mention the name of the factory you work for. At the end of the project all the data will be transferred to GreenGrade and they may use this to get in touch with your factory to offer further support. NRI, as evaluators of the program, will also have access to the data and will treat the data confidentially by anonymizing their reports. They will publish a program evaluation in 2017.

Please note: Questions marked with \* are mandatory.

**\* 1. Personal details**

**Your personal phone number and email address may be used to get back in touch with you if something was unclear. These will not be handed out to or shared with any third parties without your consent.**

Name:

Email Address:

Phone Number:

**\* 2. Details about the factory**

**We will be in touch with the factory for more information about the ethical compliance procedures, previous audits and general data on turnover and size of factory. Please can you provide the address and phone number of a contact person in the factory? This will not be handed out to third parties.**

Name of factory:

Factory address 1:

Address 2:

City/Town:

ZIP/Postal Code:

Name of contact person:

Email address of contact person:

Mobile phone number of contact person:

## UpSkill project - Ethical Compliance Awareness Survey (EN)<br>

### \*3. Your role in the factory

What is your role in the factory?

How many years have you worked at this factory?

How many years have you worked in this role?

## UpSkill project - Ethical Compliance Awareness Survey (EN)<br>

### Awareness of ethical compliance measures and activities

**\* 4. The following is a list of measures or activities to do with ethical compliance. How familiar are you with these? Please tick a box. If you want to explain your choice please use the comment box underneath the table.**

	I have never heard of it	I have heard of it but it has not been implemented in the factory where I work	The factory where I work has implemented this
Dedicated senior manager In charge of ethical compliance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Internal risk assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Health and safety policy implemented through factory procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Health and safety committee with representatives of management and employees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fire evacuation drill every quarter	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring to ensure doors are always unlocked during working hours	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Labour policies implemented through factory procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Checks that all employees are older than 15	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
All employees have a written contract	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Documented grievance procedure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Democratically elected Workers Participation Committee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment

**5. If the factory has other activities, best practices or measures in place to do with ethical compliance, please can you list these here:**

**UpSkill project - Ethical Compliance Awareness Survey (EN)<br>**

**6. What has helped to implement the measures/activities above?**

**7. Why have some measures been difficult to implement?**

Implementation of ethical compliance measures

**8. Which measures do you think your factory could implement in the future?**

- Dedicated senior manager in charge of ethical compliance
- Internal risk assessment
- Health and safety policy implemented through factory procedures
- Health and safety committee with representatives of management and employees
- Fire evacuation drill every quarter
- Monitoring to ensure doors are always unlocked during working hours
- Labour policies implemented through factory procedures
- Checks that all employees are older than 15
- All employees have a written contract
- Documented grievance procedure
- Democratically elected Workers Participation Committee

**9. What would help your factory to implement these measures?**

**10. Which measures do you think your factory will not implement?**

- Dedicated senior manager in charge of ethical compliance
- Internal risk assessment
- Health and safety policy implemented through factory procedures
- Health and safety committee with representatives of management and employees
- Fire evacuation drill every quarter
- Monitoring to ensure doors are always unlocked during working hours
- Labour policies implemented through factory procedures
- Checks that all employees are older than 15
- All employees have a written contract
- Documented grievance procedure
- Democratically elected Workers Participation Committee

**11. Why do you think the factory will not implement these measures?**



## UpSkill project - Ethical Compliance Awareness Survey (EN)<br>

Thank you for participating in the survey.

Please send a copy of this survey with your answers to [upskill.sel@gmail.com](mailto:upskill.sel@gmail.com)

We wish you all the best with the training.

## UpSkill project – Ethical Compliance Awareness Survey (Bangla)

### জরিপের ভূমিকা

এই জরিপ UpSkill প্রকল্পের অংশ। এই প্রকল্পটি বাংলাদেশে এথিক্যাল কমপ্লায়েন্স সম্পর্কে কারখানা গুলোতে সচেতনতা বৃদ্ধির উদ্দেশ্যে United Kingdom Department for International Development (DFID) এর আর্থিক সহায়তায় গ্রীনগ্রেড (GreenGrade) পরিচালনা করছে। গ্রিনিচ বিশ্ববিদ্যালয়ের (University of Greenwich) প্রাকৃতিক সম্পদ ইন্সটিটিউট (The Natural Resources Institute- NRI) এই প্রকল্পটি মূল্যায়নের দায়িত্ব পালন করছে।

এই জরিপের মাধ্যমে আমরা জানতে চাই এথিক্যাল কমপ্লায়েন্স সম্পর্কে আপনি কতটুকু জানেন এবং কিভাবে আপনার কারখানায় তা বাস্তবায়ন করেন। গ্রীনগ্রেড (GreenGrade) কর্তৃক উদ্ভাবিত প্রশিক্ষণ উপকরণ সম্পর্কে জানার আগে অনুগ্রহপূর্বক নিম্নের তথ্যগুলো পূরণ করুন। প্রশিক্ষণ সম্পন্ন হওয়ার অল্প সময়ের মধ্যে আমরা আবার আপনার সাথে যোগাযোগ করব এবং আপনার সচেতনতায় কোন পরিবর্তন এসেছে কিনা তা জানার জন্য এই ধরনের আরেকটি জরিপে অংশগ্রহণের অনুরোধ জানাব। এই জরিপে আপনার এবং কারখানার সম্পর্কে কিছু বিস্তারিত প্রশ্ন থাকবে, এরপর এথিক্যাল কমপ্লায়েন্স বিষয়টিকে কিভাবে আরও উন্নত করা যায় সে বিষয়ে আরও কিছু প্রশ্ন থাকবে। সবশেষে কারখানা গুলো কেন কিছু পদক্ষেপ বাস্তবায়নে সফল এবং সকল পদক্ষেপ বাস্তবায়নে ব্যর্থ তা জানতে চাইব।

Stockholm Environment Institute (SEI – [www.sei-international.org](http://www.sei-international.org)) এই জরিপের ফলাফল সংরক্ষণ এবং বিশ্লেষণ করবে। এই প্রকল্পের রিপোর্টে আপনার অথবা কারখানার নাম ব্যবহার করা হবে না। প্রকল্প সমাপ্ত হওয়ার পর সমস্ত তথ্য গ্রীনগ্রেড (GreenGrade)-এর কাছে হস্তান্তর করা হবে এবং পরবর্তীতে আপনার কারখানাকে আরও অধিকতর সহায়তা প্রদানের উদ্দেশ্যে আপনার সাথে যোগাযোগের জন্য আমরা এসব তথ্য ব্যবহার করব। NRI (The Natural Resources Institute) যেহেতু এই প্রকল্পের মূল্যায়ন করবে তাই এসব তথ্য তাদের কাছেও থাকবে এবং প্রয়োজনে তারা এসব তথ্য ব্যবহার করতে পারবে। তবে তথ্য গুলো অপ্রকাশিত থাকবে বা ছদ্মনামে ব্যবহৃত হবে এবং বিষয়টি সম্পূর্ণ গোপনীয় থাকবে। ২০১৭ সালে তারা এ মূল্যায়ন প্রতিবেদন প্রকাশ করবে।

### \* 1. ১. ব্যক্তিগত বিবরণ

সংশ্লিষ্ট বিষয়ে পরিষ্কার ধারণা পাওয়ার জন্য আপনার ব্যক্তিগত ফোন নাম্বার এবং ই-মেইল আইডি আপনার সাথে যোগাযোগের জন্য ব্যবহৃত হতে পারে। এসব তথ্য আপনার অনুমতি ব্যতীত তৃতীয় কোন পক্ষকে জানানো হবে না।

নাম:

ই-মেইল আইডি:

ফোন নাম্বার:

## UpSkill project - Ethical Compliance Awareness Survey (Bangla)

### \*2. কারখানা সম্পর্কিত বিবরণ

এখিকাল কমপ্লায়েন্স নীতিমালা, পূর্ববর্তী অডিট এবং কারখানার আকার ও টার্নওভার সংক্রান্ত সাধারণ তথ্য-উপাত্তের জন্য আমরা কারখানার সাথে যোগাযোগ রাখব। অনুগ্রহপূর্বক কারখানার একজন ব্যক্তি/ কর্মচারীর নাম, ঠিকানা, ফোন নাম্বার দিন। এসব তথ্য তৃতীয় পক্ষের অগোচরে থাকবে।

কারখানার নামঃ	<input type="text"/>
কারখানার ঠিকানা-১ াঃ	<input type="text"/>
ঠিকানা-২	<input type="text"/>
নগর/শহরঃ	<input type="text"/>
জিলা/পোস্টাল কোডঃ	<input type="text"/>
যোগাযোগকারীর নামঃ	<input type="text"/>
যোগাযোগকারীর ই-মেইল আইডিঃ	<input type="text"/>
যোগাযোগকারীর মোবাইল নাম্বারঃ	<input type="text"/>

### \*3. কারখানায় আপনার ভূমিকা

কারখানায় আপনার ভূমিকা/পদ কি?	<input type="text"/>
এই কারখানায় আপনি কত বছর কাজ করছেন?	<input type="text"/>
এই ভূমিকায়/পদে আপনি কত বছর ধরে কাজ করছেন?	<input type="text"/>

## UpSkill project - Ethical Compliance Awareness Survey (Bangla)

### এথিকাল কমপ্লায়েন্সের মানদণ্ড এবং কার্যক্রম সম্পর্কে সচেতনতা

**\*4. নিম্নে এথিকাল কমপ্লায়েন্স সম্পর্কিত কার্যক্রম ও মানদণ্ডের তালিকা দেয়া আছে। আপনি এ সম্পর্কে কতটুকু জানেন? অনুগ্রহপূর্বক যে কোন একটি ঘরে টিক (✓) চিহ্ন দিন। যদি আপনি আপনার পছন্দনীয় উত্তর সম্পর্কে ব্যাখ্যা দিতে চান, তাহলে ছকের নিচে মন্তব্যের ঘরটি ব্যবহার করুন।**

	আমি এ সম্পর্কে কখনও শুনিমি	আমি এ সম্পর্কে শুধুমাত্র কিছু যে কারখানায় কাজ করি সেখানে তা কখনও ব্যবহারিত হত নি	যে কারখানায় আমি কাজ করি সেখানে এটি ব্যবহারিত হয়েছে
বিবেচিতপ্রসঙ্গ সিদ্ধিহীন মতামতের এথিকাল কমপ্লায়েন্সের দায়িত্ব গ্রহণ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
অভ্যন্তরীণ কৃত্রিম বিক্রমণ	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
কারখানায় প্রবেশ্য মীতিমালায় মাধ্যমে স্বাস্থ্য ও নিরাপত্তা মীতির ব্যবহার	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ম্যানেজমেন্ট ও কর্মচারীদের প্রতিনিধিদের মাধ্যমে স্বাস্থ্য ও নিরাপত্তা কমিটি গঠন	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
প্রতি চতুর্শাশে আমি নির্বাণন মহড়া	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
কর্ম চলাকালীন সময়ে পরজা সবসময়ে খোলা রাখার বিবরণটি মনিটর করা	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
শ্রম আইন ও মীতিমালা কারখানায় কার্যক্রমের মাধ্যমে ব্যবহার	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
সকল কর্মচারীর বয়স ১৫ বছরের উপরে কিনা তা পরর রাখা	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
সকল কর্মচারীর দিবিত চুক্তি আছে	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
নথিত অতিবেগন পদ্ধতি	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
প্রমিকদের অংশগ্রহনকারী কমিটি গনতান্ত্রিক উপায়ে নির্বাচিত	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

মন্তব্য:-

**5. যদি কারখানায় উৎকৃষ্ট কার্যক্রম, কর্মপদ্ধতি অথবা মানদণ্ড থাকে যা এথিকাল কমপ্লায়েন্সের সাথে সামঞ্জস্যপূর্ণ, অনুগ্রহপূর্বক সেগুলো নিচে লিখুন:**

**6. কোন বিষয়টি উপরের মানদণ্ড/ কার্যক্রম প্রনয়নে সহায়তা করেছে?**

## UpSkill project - Ethical Compliance Awareness Survey (Bangla)

7. কিছু মানদণ্ড প্রণয়ন করা কেন কঠিন?

## UpSkill project - Ethical Compliance Awareness Survey (Bangla)

### এথিকাল কমপ্লায়েন্সের মানদণ্ড প্রণয়ন

#### 8. কোন মানদণ্ডটি আপনার কারখানা প্রণয়ন করতে পারবে বলে মনে করেন?

- নিবেদিতপ্রদান সিসিবিএর ম্যানেজার এথিকাল কমপ্লায়েন্সের দায়িত্ব প্রায়
- অভ্যন্তরীণ ঝুঁকি বিশ্লেষণ
- কারখানায় প্রবেশ মীতিমালার মাধ্যমে স্বাস্থ্য ও নিরাপত্তা মীতির বাস্তবায়ন
- ম্যানেজমেন্ট ও কর্মচারীদের প্রতিনিধিদের মাধ্যমে স্বাস্থ্য ও নিরাপত্তা কমিটি গঠন
- প্রতি চতুর্মাশে অগ্নি নির্বাপন মহড়া
- কর্ম চলাকালীন সময়ে দরজা সলসময় খোলা রাখার বিবরণি মনিটর করা
- প্রম আইন ও মীতিমালা কারখানায় কার্যক্রমের মাধ্যমে বাস্তবায়ন
- সকল কর্মচারীর বয়স ১৫ বছরের উপরে কিনা তা মজুর রাখা
- সকল কর্মচারীর পিবিও চুক্তি আছে
- নশিদ্ধতা অভিযোগ পত্রি
- প্রমিকের অংশগ্রহণকারী কমিটি গনতান্ত্রিক উপায়ে নির্বাচিত

#### 9. কোন বিষয়সমূহ উপরোক্ত মানদণ্ডগুলো আপনার কারখানায় বাস্তবায়নে সহায়তা করবে?

#### 10. কোন মানদণ্ডগুলো আপনার কারখানা বাস্তবায়ন করতে পারবে না বলে মনে করেন?

- নিবেদিতপ্রদান সিসিবিএর ম্যানেজার এথিকাল কমপ্লায়েন্সের দায়িত্ব প্রায়
- অভ্যন্তরীণ ঝুঁকি বিশ্লেষণ
- কারখানায় প্রবেশ মীতিমালার মাধ্যমে স্বাস্থ্য ও নিরাপত্তা মীতির বাস্তবায়ন
- ম্যানেজমেন্ট ও কর্মচারীদের প্রতিনিধিদের মাধ্যমে স্বাস্থ্য ও নিরাপত্তা কমিটি গঠন
- প্রতি চতুর্মাশে অগ্নি নির্বাপন মহড়া
- কর্ম চলাকালীন সময়ে দরজা সলসময় খোলা রাখার বিবরণি মনিটর করা
- প্রম আইন ও মীতিমালা কারখানায় কার্যক্রমের মাধ্যমে বাস্তবায়ন
- সকল কর্মচারীর বয়স ১৫ বছরের উপরে কিনা তা মজুর রাখা
- সকল কর্মচারীর পিবিও চুক্তি আছে কিনা থাকতে হবে
- নশিদ্ধতা অভিযোগ পত্রি
- প্রমিক অংশগ্রহণকারী কমিটি গনতান্ত্রিক উপায়ে নির্বাচিত

#### 11. কারখানা কেন উপরোক্ত মানদণ্ডগুলো বাস্তবায়ন করবে না বলে আপনি মনে করেন?

## UpSkill project - Ethical Compliance Awareness Survey (Bangla)

জসিগে অংশগ্রহণের জন্য আপনাকে ধন্যবাদ। অনুগ্রহপূর্বক ডকুমেন্টটি এই ঠিকানায় [upskill.sel@gmail.com](mailto:upskill.sel@gmail.com) প্রেরণ করুন।

প্রশিক্ষণের জন্য শুভকামনা।

## Appendix 3: Baseline factory survey

This survey was developed in English and Bangla using Survey Monkey. The system also creates an interactive pdf of the survey that people can fill in offline. The following screenshots are from the offline pdf of the baseline awareness survey in English. The survey was sent to individuals who were indicated as contacts for the factory by participants in the baseline awareness survey of the pilot and post-launch project who signed up to the UpSkill e-learning platform (more details in chapter 2).

### UpSkill project - Factory survey (EN) online

#### Introduction to the survey

This survey was developed as part of the UpSkill project. This is a project led by GreenGrade ([www.greengrade.co.uk](http://www.greengrade.co.uk)) and funded by the United Kingdom Department for International Development (DfID) with the aim to increase the awareness of ethical compliance in factories in Bangladesh. The Natural Resources Institute (NRI) of the University of Greenwich is responsible for evaluation of the program that the UpSkill project is part of.

In this survey we want to find out more about the factory in relation to ethical compliance: the size of the factory, productivity, audits, workers absenteeism, accidents, and investments made in training and insurance. This helps the project to understand the context in which training on ethical awareness takes place.

The results of this survey will be stored and analyzed by the Stockholm Environment Institute (SEI – [www.sei-international.org](http://www.sei-international.org)). The project report will not include your name or mention the name of the factory you work for. At the end of the project all the data will be transferred to GreenGrade and they may use this to get in touch with your factory to offer further support. NRI, as evaluators of the program, will also have access to the data and will treat the data confidentially by anonymizing their reports. They will publish a program evaluation in 2017.

Please note: Questions marked with \* are mandatory.

**\* 1. Some personal details**

Name:

Your role at the factory:

**\* 2. Factory details**

Name of the factory:

Year the factory started to operate:

**3. Is this factory family-owned?**

Yes

No

**4. In what type of building is this factory housed?**

A multi-purpose building

A multi-factory building

Other (please specify)

**5. Please select the types of retailer the factory produces products for:**

	Luxury brand	Value brand	Supermarket brand
International market	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National market	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Other (please specify)

#### Size of the factory



## UpSkill project - Factory survey (EN) online

\*6. How many workers are currently employed by this factory?

\*7. How many workers left the factory (i.e. voluntarily or involuntarily stopped working in the factory) last year (January to December 2014)?

\*8. How many staff have been recruited last year (January to December 2014)?

\*9. What was the annual turnover (total revenue) in the last financial year (in Taka, ট, Tk, টাকা)?

### Workers productivity and Product quality

\*10. On average, how many hours does a daily shift last?

\*11. Do you know your "cut to ship ratio"?

Yes

No

\*12. Please indicate the "cut to ship ratio"

### Cut to ship ratio - unknown

13. If you receive a Purchase Order of 100,000 pieces, what is the percentage (%) of extra cuttings observed in your factory?

### Ethical compliance

\*14. Does the factory have a process in place to update systems according to changes in requirements of legislation, regulation, consent or permits to ensure ethical compliance is met?

Yes

No

## UpSkill project - Factory survey (EN) online

**15. Does the factory have a dedicated employee dealing with ethical compliance?**

- No, none
- Yes, a Senior Manager for Ethical Compliance

Yes, other (please specify)

**\*16. Has the factory carried out an internal assessment or had an external audit of ethical compliance in the last year?**

- Yes
- No

### Factory audit

Please send the documentation related to the internal assessment or the external audit (mentioned in the previous question) to [upskill.sei@gmail.com](mailto:upskill.sei@gmail.com)

**17. Could you please confirm you sent the email with the required documentation to the UpSkill address?**

- Yes, I just sent it
- No, I will send it later

### Days of work

**\*18. What data does the factory collect about workers' absenteeism?**  
**Please list the type of information (e.g. days not working/worker/month) that is collected:**

**\*19. On average how many days is a worker absent from work in a year (January to December)?**

**\*20. How many days is a worker entitled to not work in a year due to national holidays and/or personal holidays?**

**\*21. What percentage (%) of staff have been absent from work due to illness, etc. between January and December 2013?**

**\*22. On average, how many comments are received in the 'suggestion box' every month in the past year?**

## UpSkill project - Factory survey (EN) online

**23. On average, how many staff complaints and grievances have been recorded each month for the past year?**

(If none, please write "none")

**\*24. How many accidents (occurrences at work leading to physical or mental harm) were registered at your factory in the last year (from January to December)?**

(If none, please write "none")

**\*25. Did you have any incidents of unrest in the factory?**

No

Yes

If yes, please specify how many days of unrest have been recorded

**\*26. Was the factory closed down or affected by the hartals?**

No

Yes

If yes, in what way and for how long?

**27. Please indicate your policy and entitlements towards maternity leave.**

## Factory Investments

**28. How much (in Taka, ট, Tk, টাকা) has the factory spent during 2013 on:**

Employee-related

Insurances (e.g. Workers  
Compensation Insurance)

Factory-related Insurances

(e.g. General Liability  
Insurance, Property  
Insurance, etc.)

Training of workers

Training of managers

Carrying out audits

## Finish

## UpSkill project – Factory survey (EN) online

Thank you for participating in this survey.

We would like to contact a number of factories for a more in-depth phone interview and/or field visit in the coming months.

**29. If you are happy for us to contact you for a phone interview or factory field visit please tick this box:**

This factory is willing to participate in a phone interview or field visit.

Please provide contact details (email address, mobile phone number)

## Appendix 4: Pilot-evaluation survey

This survey was developed in English and Bangla using Survey Monkey. The system also creates an interactive pdf of the survey that people can fill in offline. The following screenshots are from the offline pdf of the Pilot evaluation survey in English. This survey was sent to all individuals of the pilot who signed up to the UpSkill e-learning platform (more details in chapter 2).

### UpSkill project: Post-training Ethical Compliance Awareness survey (EN)

#### Home Page

Dear UpSkill participant,

Congratulations on completing the UpSkill training!

As part of our efforts to improve the UpSkill experience for future users, we would like to ask you, through this survey, few questions about the overall experience with UpSkill and we would like to know more about potential future developments in your factory following this specific training.

This survey, as the previous ones, was developed as part of the UpSkill project. This is a project led by GreenGrade ([www.greengrade.co.uk](http://www.greengrade.co.uk)) and funded by the United Kingdom Department for International Development (DfID) with the aim to increase the awareness of ethical compliance in factories in Bangladesh. The Natural Resources Institute (NRI) of the University of Greenwich is responsible for evaluation of the program that the UpSkill project is part of.

In the first part of this survey, we will ask few questions about your overall experience with the pre-training surveys, which regarded the ethical compliance awareness of UpSkill participants, and the collection of detailed data about factory ethical compliance. In the second part of the survey, more information about your experience with the UpSkill training will be collected. Finally, we would like to ask your opinion on how the participation to the UpSkill training will feed back into the future factory developments and performances with regards to the compliance of ethical aspects.

The results of this survey will be stored and analysed by the Stockholm Environment Institute (SEI – [www.sei-international.org](http://www.sei-international.org)). The project report will not include your name or mention the name of the factory you work for. At the end of the project, all the data contained in this survey will be transferred to GreenGrade anonymously. NRI, as evaluators of the program, will also have access to the data and will treat the data confidentially by anonymizing their reports. They will publish a program evaluation in 2017.

Please note: Questions marked with \* are mandatory

## UpSkill project: Post-training Ethical Compliance Awareness survey (EN)

### Personal Details

In this section we will collect personal and factory details only to make sure results of this survey are appropriately linked to previous survey answers you participated in.

Your personal email address may be used to get back in touch with you if something was unclear. However, these will not be handed out to or shared with any other third parties without your consent.

#### \* 1. Personal and factory details:

Name and Surname:	<input type="text"/>
Name of the factory:	<input type="text"/>
Role in the factory:	<input type="text"/>
Email Address:	<input type="text"/>

## UpSkill project: Post-training Ethical Compliance Awareness survey (EN)

### Pre-training survey

Before your UpSkill training started, you were invited to provide some information about the awareness of ethical compliance in the factory.

In that survey we wanted to find out whether you were aware of ethical compliance and how it has been implemented in your factory, before undertaking the training.

We invite you now to think about that specific moment when you filled in the survey(s) and rate the experience, by also providing, if possible, some more specific feedback.

**\*2. From an overall perspective, how easy was to participate to the Ethical Compliance Awareness survey (For example, think about the time it took to complete the survey, the language of the survey, clarity of questions, etc.)?**

**(From 1 = "Too Easy", to 5 = "Too Difficult")**

- Too easy
- Easy
- Neither easy nor difficult
- Difficult
- Too difficult

**3. Could you explain in one sentence why you rate [Q2] the Ethical Compliance Awareness survey?**

## UpSkill project: Post-training Ethical Compliance Awareness survey (EN)

### UpSkill training evaluation

We would like to gather some information about your experience in undertaking the UpSkill training.

**\* 4. How would you rate, overall, the UpSkill training?  
(From 1 = "Very Poor", to 4 = "Excellent")**

- Very Poor;
- Poor;
- Fair;
- Good;
- Excellent.

**\* 5. In your opinion, and based on your experience using UpSkill, what are the advantages in using this training tool?**

- Accessibility (it can be used either online or offline);
- Availability (it can be used whenever the person can);
- Content (using familiar images and familiar language);
- Cost effective;
- Time effective;
- The possibility to be awarded a certificate of achievement;

Other (please specify):

**\* 6. Which of the following technologies did you use to access the UpSkill training?**

- Desktop pc;
- Laptop;
- Tablet;
- Smartphone;

Other (please specify):

**7. Of the technology selected, please mention the reason this was used in preference to other methods?**

**\* 8. During the use of UpSkill, have you encountered any technological problem?**

- Yes
- No



**9. Could you please describe the problem you had?**

**\*10. Did you contact the UpSkill Customer Service about this problem?**

- Yes, and they helped address the problem
- Yes, but they could not provide a satisfactory solution
- No, I did not contact the UpSkill Customer Service

**\*11. How would you rate the UpSkill Customer Service?**

**(From 1 = "Very Poor", to 4 = "Excellent")**

- Very Poor;
- Poor;
- Fair;
- Good;
- Excellent.

## UpSkill project: Post-training Ethical Compliance Awareness survey (EN)

### \* 12. Which is the module you like the most?

- Housekeeping and Hygiene
- Emergency and Fire Safety
- Management System
- Audit Process
- Documents and Records

Other (please specify):

### 13. Could you please provide some more information about your choice [Q13]?

### \* 14. Which is the module you like the least?

- Housekeeping and Hygiene;
- Emergency and Fire Safety;
- Management System;
- Audit Process;
- Documents and Records;

Other (please specify):

### 15. Could you please provide some more information about your choice [Q14]?

### 16. What are the three most interesting things you learnt by participating to the UpSkill training?

1.
2.
3.

### \* 17. If you would be able to change the overall structure of the UpSkill training, what would you like to add/remove/edit?

### \* 18. If you would be able to change the content of the material provided during the UpSkill training, what would you like to add/remove/edit?

## UpSkill project: Post-training Ethical Compliance Awareness survey (EN)

### Post-training survey

In this final section of the survey, we would like to know what will be, if any, future actions that the factory where you work is willing to undertake, after the participation to the UpSkill training.

**\*19. Which of the following areas do you think your factory should invest resources to enhance the current situation?**

- Housekeeping and Hygiene,
- Emergency and Fire Safety,
- Management System,
- Audit Process
- Documents and Records
- None of the above

Other (please specify):

**20. In your opinion, among the areas you selected, which one has the highest priority?**

- Housekeeping and Hygiene,
- Emergency and Fire Safety,
- Management System,
- Audit Process
- Documents and Records

Other (please specify)

## UpSkill project: Post-training Ethical Compliance Awareness survey (EN)

**21. The following is a list of measures or activities to do with ethical compliance. For each of the measures or activities, please specify how likely it is that the factory where you work will implement it within the next 6-12 months.**

**We would very much appreciate if you could briefly explain your choices using the comment box underneath the table.**

	The factory where I work has already Implemented this before the UpSkill training	Very likely to be Implemented	Somewhat likely to be Implemented	The factory where I work will not Implement this
Dedicated senior manager In charge of ethical compliance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Internal risk assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Health and safety policy Implemented through factory procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Health and safety committee with representatives of management and employees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fire evacuation drill every quarter	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring to ensure doors are always unlocked during working hours	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Labour policies Implemented through factory procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Checks that all employees are older than 15	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
All employees have a written contract	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Documented grievance procedure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Democratically elected Workers Participation Committee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments:

**22. If the factory will implement other activities, best practices or measures related to ethical compliance additional to those mentioned above, please can you list these here:**

## UpSkill project: Post-training Ethical Compliance Awareness survey (EN)

**23. For each of the measures or activities in the following list, please specify to what extent each of the following measures and activities contributes to the enhancement of factory performance (From 1 = “Not At All”, to 5 = “Very High”).**

**We would very much appreciate if you could briefly explain your choices using the comment box underneath the table.**

	5 - Very high contribution to factory performance	4 - High contribution to factory performance	3 - Neither high nor low contribution to factory performance	2 - Low contribution to factory performance	1 - Not at all contribution to performance
Dedicated senior manager In charge of ethical compliance	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Internal risk assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Health and safety policy Implemented through factory procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Health and safety committee with representatives of management and employees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fire evacuation drill every quarter	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring to ensure doors are always unlocked during working hours	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Labour policies Implemented through factory procedures	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Checks that all employees are older than 15	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
All employees have a written contract	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Documented grievance procedure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Democratically elected Workers Participation Committee	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments:

**Final**

**24. If you would like to comment on any other aspect of the UpSkill training that was not covered by this survey, please use the text box below to provide any relevant information.**

Thank you for participating in this survey. We wish you all the best with your work in the factory!

## Appendix 5: Evaluation interview

The Evaluation interview was developed in English and then translated into Bangla. The interviews were done in person or on Skype in Bangla. The following screenshots are from the interview in English. The interview was done with selected individuals who had signed up and participated in the UpSkill e-learning platform pilot and post-launch project (more details in chapter 2).

### Evaluation Interview UpSkill project

You, or another employee of this factory, have participated in the UpSkill project that provided training on ethical compliance via an online training tool between September 2014 and June 2015. We are working for the Environment and Population Research Centre, the EPRC, in Dhaka. We have been asked to evaluate the UpSkill training in this interview.

Thank you for agreeing to be interviewed. The interview should last around 30 minutes.

The interview as well as the training is part of the UpSkill project led by GreenGrade and funded by the United Kingdom Department for International Development (DfID) with the aim to increase the awareness of ethical compliance in factories in Bangladesh. The surveys that you, or the other employee, have filled in before you started the training, as well as a survey about your factory, helped to create a baseline. We are very interested to understand how the training has impacted on your awareness of ethical compliance and what effect this may have had in your factory.

The results of the interview will be stored and analysed by the Stockholm Environment Institute at the University of York that is in charge of overall evaluation of the project. The project report, which we will send you a copy of via email will not include your name or mention the name of the factory you work for.

At the end of the project all the data will be transferred to GreenGrade. The Natural Resources Institute (NRI) of the University of Greenwich is responsible for evaluation of the program that the UpSkill project is part of. As such they will also have access to the data and will treat the data confidentially by anonymizing their reports. They will publish a program evaluation in 2017.

I hope you are happy to participate in the interview. At the end of the interview, you will have a chance to check if your views were reported correctly, and sign the questionnaire to affirm this.

### A. Introduction

Date, time and duration of the interview:

1. Participant's name:
2. Factory name:
3. Did you do the Upskill training? Yes..... No.....
4. Did you take the exam? Yes..... No.....
5. Did you enjoy the training? Yes..... No.....

Before we ask you more questions about the training we wanted to verify with you a few things about the factory first.



**B. Factory related questions**

6. How many accidents took place since you have had the training? Number of accidents. ....

6.1. Do you think the training had any impact on reducing the rate of accidents? Yes. ....  
No.....

6.2 If yes, how the training helped?

7. What is the employee's entitlements to holidays according to their job category and gender?

Category	Earned leave	Sick leave	Total
<b>Managers</b>			
Total			
Female			
Male			
<b>Workers</b>			
Total			
Female			
Male			

8. Grievances and complaints procedure: Have you received any complaints since you participated in the training? Yes..... No.....

8.1. Was the complaint written or oral?

8.2. Has the training helped you to respond to these? Yes..... No.....

8.3. If yes, how?

9. Did the factory have had ethical compliance or health and safety training for floor workers? Yes..... No.....

9.1 If yes, did the factory had its own budget and initiated its own safety training, as part of its learning and development programme? Or, did it have trainings following an explicit requirement by the Accord or Alliance?

9.2 One of the basic principles of workplace safety is to have written procedures, but such documents are of limited value if workers are unable to read or understand them. What is the approximate proportion of workers with no literacy or very limited literacy skills in their factory? (that is, how many can confidently read and write?) Total .....%; female .....% and male .....%

**C. Ethical awareness**

10. What are two things that stand out from what you have learned?

10.1

10.2

11. This is a list of the modules of the training. Can you indicate whether they were useful or not for you?

	Useful	Not useful	Not applicable
<b>Effective Compliance</b>			
Introduction			
Audit Process			
Management System			
Documents and Records			
Subcontracting and Homeworkers			
Health and Safety			
Housekeeping and Hygiene			
<b>Emergency and Fire Safety</b>			
Worker Health and Safety			
Hazardous Materials			
Environmental			
Living Accommodation			
<b>Worker's Rights</b>			
Employment Freely Chosen			
Wages			
Children and Young Workers			
Freedom of Association			
Regular Employment			
Working Hours			
Non-Discrimination			
Discipline and Grievance			

12. Are there measures you have implemented since you have had the training?  
Yes..... No.....

12.1 If yes, what are they?

12.2. What helped you to implement these changes?

12.3. Has the training helped you to implement these measures? If yes, in what way?

12.4 Are there measures you want to implement further? Yes..... No.....

12.5 If yes, and if you haven't done so yet, what are the barriers to implementing these measures?

**D. Enabling Factors**

13. In the survey, we have noted the following factors that can enable better implementation of ethical compliance. Do you agree or disagree with them? Please tick the appropriate box, below.

Enabling factors	Agree	Not sure	Disagree
<b>Rewards</b>			
Providing bonus for employees			
Activities related to CSR and social compliance			
<b>Social Support (Relationship, co-creation)</b>			
Improving relations between workers and management			
Ensuring workers' voices are heard by the management			
<b>Identity and self-belief</b>			
Mentality and attitude to compliance			
Belief of the management staff in the importance of health and safety issues			
Awareness and motivation of staff			
Awareness of workers about their safety			
<b>Shaping knowledge (Training)</b>			
Training for awareness raising of workers			
Training to increase skills of staff who handle the compliance issues			
Training for continual improvement in management system			
<b>Regulation (Procedural improvement)</b>			
Implementing labour policies in factory procedures			
Carrying out internal risk assessment			
Regular fire evacuation drill			
<b>Monitoring</b>			
Formulating correct/right health and safety procedure			
Strict implementation of health and safety monitoring by managers			

13.1 Any further comments/reflections on the training?

13.2 What personal benefits have you received from having done the training and the exam? (e.g. pay rise, different role, better job prospects)

13.3. Has the factory communicated to others that employees have done the training (e.g. customers or buyers)?

13.4 How has this affected the business? (e.g. more orders, a new buyer?)

13.5 More broadly what has been the most significant change since doing the training? And why is this most significant?

#### **E. Looking towards the future**

14. Do you think the factory staff and workers would have interest in taking part in a free of charge pilot trial of a possible new project that can help them to raise their knowledge of health and safety procedures?

Yes..... No.....

14.1 Are they capable of self-paced training or would they need external professional providers?

Yes..... No.....

14.2 Will the factory consider upskilling the entire workforce – if they are required to allocate 3-5 hours for each worker? (e.g., if the factory has 100 workers, about 300- 500 hours will have to be spent to introduce safety and ethical knowledge).

Yes..... No.....

-----

Thank you very much for participating in the interview. We will write a report based on the interviews across a number of factories that participated in the UpSkill training project. Your responses will be anonymised in the report. When the report is done you will receive a copy via email, probably in August. Please check the answers in this questionnaire, and if you approve of it, then sign below. Thank you.

Name and signature of the Interviewee

-----

Name and signature of the Interviewer

-----