

Most Frequently Asked Questions

1. What does a multi-stakeholder organisation mean?

WIETA is a multi-stakeholder initiative and its board members represent a governance structure seeking to bring member stakeholders who are active in the wine industry and agricultural sector together to participate in the dialogue, decision making, and implementation of solutions towards the development and driving of a pro-active, world class and sustainable ethical trade programme for the South African wine and related stakeholders. Stakeholders represent producer and wine industry organisations, civil society and non-profit organisations working with farm workers and trade unions operating in the agricultural sector.

2. What benefits does WIETA provide?

WIETA provides the framework for the creation and improvement of equitable and harmonious relationships in the workplace through:

- The improvement of lives for employees;
- The increase of market access;
- The provision of assurances that South African products are ethically produced.

3. WIETA Training Overview – Who should attend?

The WIETA Compliance Training Programme consists of a one-day interactive workshop, aimed at building a solid understanding of ethical trade in the South African wine industry and the WIETA Code of Conduct. It is designed for managers and owners of farms and cellars and their senior staff who are responsible for the implementation of ethical codes of practice, quality management and ethical risk assessment and management.

The workshop also focuses on **Labour Management Systems** aimed at assisting producers in implementing better practice working conditions as regulated by the Labour Relations Act, Basic Conditions of Employment Act and the requirements as set out in the Sectoral Determination for Farm

Workers. The workshop seeks to emphasise particular tools and systems which administrators, HR managers and personnel in the wine industry supply chain can implement at their workplace.

The Health and Safety Compliance section of the training focuses on health and safety management systems in the workplace. The module seeks to emphasise particular tools and systems which compliance officers, safety managers or safety representatives at your site or in your supply chain can implement at their workplace.

4. How do I register with WIETA?

All prospective WIETA members must complete the following:

- 1. A WIETA membership form.
 - a. An acknowledgement letter will be sent to you along with an invoice for the registration fee.
- 2. Once you have paid your fee, we will send you the following
 - a. A Self-Assessment form to complete;
 - b. An Invitation to attend the WIETA training session on Ethical Trade and Compliance with the WIETA Code.
 - c. A Preliminary Audit Planning form.
- 3. Audits cannot be scheduled before
 - a. Members have paid their registration feel;
 - b. Attended the training session;
 - c. Completed the Self-Assessment form;
 - d. Completed the Audit Preliminary Planning form.

5. Membership fees

In the first year of application to become a WIETA member a registration fee of R605.00 (R689.70 including VAT) is payable.

Thereafter membership fees will be invoiced annually by July. The fee for 2015 is R605.00 (689.70 including VAT) per site registered with WIETA.

6. Why must I complete a self-assessment form?

All WIETA member sites of employment are required to complete the self-assessment questionnaire ('SAQ'). This is a best practice requirement of most global audit firms and ethical code organisations.

Completion of the SAQ before an audit will give the member site detailed information on the issues auditors will be covering during a WIETA audit. By completing and reviewing their own SAQ, a member site will be able to self-diagnose problem areas and to correct issues prior to an audit. In addition, the SAQ (which contains site profile information) enables the member site to evaluate how it manages social compliance and its ethical and labour performance against local and international labour standards.

The site of employment is asked to complete the SAQ within a given timescale and provide supporting documentation. The auditor uses the information to plan the audit and to focus on high-risk areas.

7. What are my responsibilities as a WIETA member?

Members are required to -

- Demonstrate and communicate their commitment to ethical trade;
- Integrate ethical trade into their business policies and practices;
- Demonstrate clear improvement to the working lives of their employees on an on-going basis;
- Show proactive support to and monitoring of any grape and wine suppliers in improving their workers' working conditions.

Members of WIETA commit themselves to undertake an independent participative and multi-disciplinary assessment of their ethical trade and labour practice by undertaking an ethical audit against the WIETA Ethical Code of Best Practice. It is required that a senior member of management at each member's site takes responsibility for the implementation of the Ethical Code.

8. Can small producers also be certified?

If a member site is less than 10 hectares in total production size and employs less than 20 workers (permanent and temporary workers employed directly by the member site) some requirements in the WIETA Ethical Code of Best Practice and the WIETA Code Benchmark will not apply to the member. In such cases the auditor will consider these requirements as not applicable.

9. How do I become WIETA certified?

- Step 1 Complete the membership form and pay membership fees.
- Step 2 Attend a WIETA training session where the implementation of the code is explained.
- Step 3 Complete an audit planning form and self-assessment questionnaire in order to plan the audit.
- Step 4 Obtain an audit date and proceed with the audit.
- Step 5 After the completion of the audit you will receive a report with an improvement example. The improvement plan must be completed with evidence provided and returned to us within 4 months after receiving the report.
- Step 6 The improvement plan with evidence is reviewed and sent to the accreditation committee for possible approval.
- Step 7 –Our offices will send the certificate to you or correspondence regarding the feedback of the committee if there are no outstanding matters.

10. What are the requirements for certification?

All non-compliances (NCs) and the corresponding corrective actions must be fully addressed in the improvement plan. The evidence of corrective actions must also be handed in along with the improvement plan.

If the producer fails to submit any evidence and simply refers to future corrective actions, WIETA will not grant accreditation and the certificate will not be issued.

The committee will however consider whether conditional certification should be granted for the first year if certain infrastructural corrections for example housing improvements or certain low risk safety and health corrective actions are still outstanding.

11. Who are the WIETA auditors?

WIETA auditors are independently selected and contracted on an assignment basis to undertake audits for WIETA. WIETA uses an international auditor competency benchmark for the selection of auditors to its pool.

Auditors are selected on the basis of the following:

Auditor education levels

The individual will have successfully completed tertiary education to an appropriate level to comply with the requirements of the audit subject field i.e. at least a three years degree/diploma or equivalent qualification in labour law, industrial relations, human resources, nursing with occupational health and safety, health and safety, quality management and assurance.

What knowledge must auditors have?

Applicable laws, regulations and other requirements relevant to the discipline:

- Detailed knowledge of all South African national and local laws that apply to WIETA and the
 organisation being audited, with particular reference to one of the areas listed under either social
 compliance or environmental compliance, depending on the audit's scope.
- Social Compliance Assessment: Employment law related to wages, benefits, hours of working, remuneration codes of practice and standards, holidays and employment termination codes and standards, subcontracting and home working.
- Occupational Health and Safety Act and regulations.
- The individual will have detailed knowledge of international treaties and conventions, with particular reference to ILO conventions and recommendations and the UN Declaration of Human Rights and internal labour law and standards.

What organisational competency must an auditor have?

- Broad understanding of the macro and regional political, socio-economic context and prevailing conditions within which the organisation, its management and workers and their communities find themselves.
- Knowledge of general business processes and will understand the workings of organisations in relation to size, structure, function and relationships.
- Knowledge of specific functions with particular reference to human resource management, payroll systems, productivity systems, union relationships, collective bargaining processes, relevant

collective agreements, worker organisations (non-unionised), worker grievance procedures and occupational health and safety regulations.

- Understand the social, economic and cultural relationships in worker communities.
- Project management, facilitation and interviewing techniques.

What work experience must an auditor have?

The individual will have commercial/operational experience relevant to the business being audited.

What social auditor training is required of the auditor?

The individual will have undertaken and successfully completed a course or courses in relation to labour and health and safety specific standards. In addition, the prospective auditor will have undertaken and successfully completed courses which impart knowledge of effective auditing skills/methodology and other skills e.g. investigative and analytical skills prior to being shadowed in audits.

The individual will undertake additional training in the event that there is a change to legislation, specific standards, codes or conventions.

WIETA also hold compulsory training workshops three times a year.

What audit experience must an associate auditor have?

The individual will initially have completed a minimum of 10 days of onsite audit experience of conducting audits (either for social compliance or occupational health and safety compliance) under the direction and guidance of a competent lead auditor.

The individual will have undertaken at least three satisfactory audits shadowed by a competent lead auditor with feedback assessment approved by WIETA management.

What audit experience must a lead auditor have?

The individual will initially have completed a minimum of 25 days of onsite audit experience in conducting audits (either for social or occupational health and safety compliance) under the direction and guidance of a competent lead auditor.

The individual will have undertaken at least three satisfactory audits as an acting audit team leader, shadowed by and under the supervision of a competent lead auditor.

What is WIETA's auditor capacity?

WIETA has 15 auditors who have met the above criteria and are currently undertaking audit assignments as associate and lead auditors for WIETA.

How many audits can WIETA undertake in a month?

WIETA is able to undertake up to 70 audits in a month.

12. How is the audit visit planned?

Pre-audit employment site profile

When an audit request is made, WIETA will provide the employment site with a pre-audit employment site profile questionnaire, called an *Audit Fixture Information and Preliminary Planning form* asking for general information about location, size, workforce profile and production processes.

This information allows WIETA to:

- Prepare relevant briefing materials (industry specific)
- Plan the assessment, for example the gender and language capabilities of the audit team members and the required number of auditing days (audit length).

Each employment site to be audited will complete a pre-audit employment site profile. The information provided will be used by WIETA and its allocated auditors to make the necessary preparations for the audit and may also be used during audits to focus the auditor on high risk areas.

Recommended timeframes for planning an audit

- WIETA will supply the pre-audit employment site profile to the employment site within five working days of the audit being requested.
- The fixture form employment site profile will be completed and returned to WIETA at least 6
 weeks prior to the requested audit date.
- Should an audit be urgently required, and scheduled in less than two weeks, the auditor and employment site will work together to ensure the pre-audit employment site profile is returned as soon as possible, and in any event before the audit is carried out.

A pre-audit employment site profile will have four main areas:

- Member overview
- Employment site overview
- Employment site details
- Employee details
- Employee cycle details
- Subcontracting activities
- Unions currently operating on site
- Prior audit history.

Where the employment site itself is the audit requestor, WIETA will ensure that an agreement is in place with the employment site to allow WIETA to communicate audit findings and any alert notifications to any customers concerned.

13. What is the involvement of the producer cellar in audit on farm?

As an ethical supply chain manager, the producer cellar has a responsibility to ensure that it has appointed a senior staff member to drive its ethical programme down its supply chain. This programme can involve:

- Awareness raising sessions amongst its suppliers
- Facilitating training sessions on ethical and labour compliance
- Monitoring of ethical performance on its supplier sites
- Pre-audits and internal audits
- Assistance with best practice labour tools and systems and procedures
- Co-ordinating audit requests.

14. What should the involvement of consultants be at an audit?

Member sites and their designated staff are required to take direct responsibility for the implementation of labour compliance at their employment site. Whilst many sites make use of external technical and labour consultants to assist with the implementation of better practice systems and procedures, it is not advised that these consultants be present on the day of the audit as this would constitute a conflict of interest and jeopardise the outcome of an impartial audit.

15. Who should be present on the day of the audit?

Key personnel invited to participate in the audit, including but not limited to:

- The owner of the site where possible
- Senior and middle management
- HR and payroll personnel
- Health and safety personnel
- Workers' representatives.

16. What documentation must be made available on the day of the audit?

List of documents that the employment site will need to make available to the audit team on the day of the audit, including:

- Employment site layout/floor plan
- Company policies (including but not limited to child labour, discipline, discrimination and harassment, health and safety etc.)
- Department of Labour inspection/Integrated Production of Wine reports, e.g. sanitation, fire safety, structural safety, environmental compliance, etc.
- Procedures (e.g. grievance/complaints and disciplinary procedures)
- Evidence that procedures are followed
- Collective bargaining agreements (CBA)
- Employment equity reports
- Skills development plans
- Employment contracts
- Recruitment procedure
- Personnel records

- Employee handbook
- Training records.

Health and safety documents:

- Hazardous chemicals list
- Accident book
- Chemical log
- Machinery inspection/service logs
- Accident and injury log
- Emergency action procedures
- Evacuation plan
- Fire drill log
- COID registration
- Minutes of joint committees on health and safety
- Contractor agreements Section 37
- Legal appointments.

HR Documents:

- Payroll records for past 12 months
- Pay records for high and low points of the season
- Hours and/or attendance records
- Evidence that payments have been made
- Piece rate records for the past 12 months (if applicable)
- Time records for the past 12 months
- Production records
- Minutes of meetings with workers representatives/unions
- Minutes of meetings on disciplinary matters
- Unemployment insurance, tax and other required receipts
- Training certificates
- Permits, operating licences, certificates of operations, etc.
- Previous social audit reports/corrective action plan report.

17. How long after the audit must my improvement plan be in place?

Four (4) months after receiving the report your improvement plan with evidence must be submitted.

Please note that the audit expires within a year if no improvement plan is received within 12 months after the audit took place. The producer will then have to be audited again at their own expense.

18. How often must I undertake an audit?

The audit cycle takes place every 3 years depending on the ethical risk. If the farm has high risk non-compliances, the accreditation committee may request that another follow-up audit take place after one year.

19. How much does an audit cost?

Audit costs can be influenced by the following factors:

- Number of farms that must be audited
- Size of the farm/farms as well as the distance between the farms
- Number of worker houses
- Language preference of workers other than Afrikaans and English (e.g. Xhosa, Sotho etc.)
- Total workforce during high season
- Distance that the auditors must travel from Stellenbosch.

2015 audit costs are as follows:

- Farms under 10 hectares and less than 20 workers: R4 520.00.
- Farms 1 labour auditor and 1 health and safety auditor with a total workforce of less than 70: R7 345.00
- Cellars with less than 70 workers: R9 040.00
- If more than 25% of the workers at the audit cannot speak Afrikaans or English, an additional multilingual interviewer is required: R1 980.00
- For sites with more than 70 workers an additional associate auditor is required: R2 500.00.

20. Should my temporary workers/contractor be present on the day of the audit?

If the contractor is not WIETA certified, he and some of his contract workers who would normally work on the farm/in the cellar must be present at the audit. All his paperwork and contracts will then also be checked and his workers interviewed.

If the contractor is not present, the audit will be considered incomplete and the auditor will then have to interview the contractor and his workers on another day at additional costs to the producer.

This procedure is internationally required by all ethical audit firms following the GSCP and SMETA (Sedex Members Ethical Trade Audit) standard.

21. How does the seal application work and how do my wines qualify?

An application form must be completed where we request the WS/WSB numbers. We access the SAWIS system to determine which producers/cellars contributed to the specific wine.

The formula works as follows:

60% of the producers/cellars that contributed to the wine must be WIETA certified/accredited, and the remaining 40% that contributed to the wine should at least have undergone the WIETA audit in the past year.

22. How long after I have submitted my plan will I received feedback regarding my certificate?

6-8 weeks after submitting a complete plan with the necessary evidence.

23. SIZA / WIETA audit recognition

Current states on agreement between SIZA and WIETA

Currently, a producer that has completed a SIZA (Sustainability Initiative of South Africa) audit and seeks WIETA certification is required to undertake a partial audit. This also applies where a producer has completed a Fairtrade and BSCI Audit. All cellars are required to undertake a WIETA audit for WIETA certification, irrespective of any other audit process that it might have undertaken.

The partial audit serves to provide a site verification of non-compliances corrected after the SIZA/Fairtrade audit has been undertaken.

a) Partial Audit process

Prior to the partial audit, the WIETA office requires that the producer has completed the process of the other certification body, i.e. that they have completed their corrective actions and that their audit has been signed off by the audit company, and that the before mentioned documentation are submitted to the WIETA office.

The auditor during the partial audit verifies the corrective actions of the producer. In addition, the auditor does a short visual site inspection to ensure that there are no health and safety risks, inspects some of the worker housing and has a short interview with management and workers.

b) Costs associated with the partial audit

The cost of a partial audit at the time of writing of this document is R 2 500.00 (excluding VAT and travelling costs). If a producer is also a VinPro member, they can claim back a subsidised amount of R2 500.00 from the VinPro foundation after they have received their WIETA accreditation.

c) WIETA and SIZA agreement

WIETA & SIZA have undertaken a process in terms of which they evaluate each other's' standards, approaches and methodologies.

The following processes has been completed –

- Internal share and compare process of both organisations' codes, audit checklists and methodologies
- External share and compare process of both organisations' codes, audit checklists and methodologies on the Global Social Compliance Programme's share and compare platform
- Shadowing of audits by RSS Africa with feedback received in mid June 2015.

WIETA & SIZA are currently reviewing the RSS Africa report which will tabled at the board meeting in August 2015 to establish future steps that will be taken with respect to possible recognition.

Whilst much of the code policy is alike there are marked differences between the SIZA audit firms and WIETA, notably –

- The sample sizes;
- The number of auditors used by WIETA is more;
- The participative nature of the audits;
- The technical knowledge skills base of the health and safety auditors;
- WIETA's method of verification of corrective actions is more rigorous with internal, external and a multi-stakeholder committee review of evidence before certification is given.

WIETA furthermore provides assurances that South African wine products are ethically sourced through the application of the WIETA Fair Label Seal. This guarantee requires that all sites need site verification of their ethical performance and risk management.

24. Code violations

From time to time, information about alleged violations of codes of labour practice amongst WIETA members and/or their suppliers may be received by trade unions, NGOs, buyers, or producer members of WIETA.

In principal WIETA members agreed that any alleged violations of this nature would be reported in the first instance to WIETA to allow for an investigation and remedial action before the alleged violation became a media issue. WIETA encourages all members to seek alternative dispute mechanisms and support mediation as a constructive process for engagement.

As well as resolving the issue, the intention is to promote better communication and good working relationships amongst WIETA members, in the spirit of working together to resolve breaches of the WIETA code in the wine supply chain.

To assist such a cooperative approach, WIETA has prepared a set of guidelines intended to provide a framework towards the resolution of a collaborative, mutually positive and mediated outcome.