



## ***WIETA Auditor Competencies & Requirements***

### ***Auditor competence***

WIETA's requirements for auditor competence is in line with international standards as set out by the Global Social Compliance Programme Reference Tools and as supported by the SEDEX SMETA requirements in the UK.

### **Ethical**

The individual will be fair, truthful, unbiased, sincere, discreet, trustworthy and honest.

The individual will possess a high level of integrity, particularly in relation to bribery and corrupt practices.

### **Open-minded**

The individual will be open-minded, reasonable and will be willing to consider alternative ideas or points of view.

### **Diplomatic**

The individual will be tactful in dealings with people, as appropriate to achieve the audit objectives.

### **Observant**

The individual will be fully aware of physical surroundings and activities throughout the entire audit process.

### **Perceptive**

The individual will instinctively be aware of and be able to understand situations.

### **Versatile**

The individual will be able to adjust readily to different situations and to effectively resolve conflict and arrive at consensus agreement as far as possible.

### **Tenacious**

The individual will be persistent and focussed in their approach to achieve objectives.

### **Decisive**

The individual will be able to reach timely conclusions based on logical reasoning and analysis, and in the case of possible conflict, be in control of discussions. The individual will assume the leadership role during problematical discussions and situations in order to resolve issues.

**Self-reliant**

The individual will be able to act effectively and function independently during audits.

**Ethically and morally courageous**

The individual will act professionally and ethically and make decisions even though these actions and decisions may result in disagreement, confrontation or appeal proceedings.

**Professional**

1. The individual will be courteous, conscientious, discreet and business like in their approach to auditing.
2. The individual will have the ability to deal sensitively with people from different backgrounds and to make them feel at ease, in order to resolve conflict without losing composure.
3. The individual will be empathetic, respectful to others and will help to build trust during and after the audit.
4. The individual will keep relevant information confidential in accordance with non-disclosure or confidentiality agreements.
5. The individual will communicate confidently and with authority to secure agreement with auditee management.
6. The individual will maintain strict independence from self-interest or personal bias.

**Respectful**

The individual will act respectfully, show politeness and good manners.

**Organisational skills**

1. The individual will effectively plan, prioritise and adjust the activities to auditee needs as far as possible, without adversely affecting the audit.
2. The individual will have good organisational and time management skills.

**Logical judgement**

The individual will make correct decisions based on objective and verifiable evidence.

**Audit principles, procedures and technique**

1. The individual will apply audit principles, procedures and techniques associated with management systems and possess a detailed knowledge. The individual will apply audit principles, procedures and techniques associated with management systems and possess a detailed knowledge of compliance issues.
2. The individual will prioritize and focus on matters of significance and understand the appropriateness and consequences of using sampling techniques for auditing.
3. The individual will be able to verify the accuracy of collected information and be aware of the significance and appropriateness of audit evidence to support audit findings and conclusions.
4. The individual will understand and assess those factors that can affect the reliability of the audit findings and conclusions.

**Management systems and reference documents**

1. The individual will have a detailed knowledge of WIETA management systems, standards, applicable procedures or other management systems documents used as audit criteria.
2. The individual will have the ability to apply WIETA Code and related systems principles to different organisations and to interaction between components of the WIETA management system.
3. The individual will understand and act upon differences between and the priority of reference documents and understand the need to apply specific reference documents to different audit situations.
4. The individual will have knowledge of information systems and technology for authorisation, security, distribution and control of documents, data and records.

### **Organisational situations**

1. The individual must have a broader 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.
2. The individual will have knowledge of general business processes and will understand the workings of organisations in relation to size, structure, function and relationships.
3. The individual will have knowledge of specific functions with particular reference to Human Resources management, payroll systems, productivity systems, union relationships, collective bargaining processes, relevant collective agreements, worker organisations (non-unionised) and worker grievance procedures and Occupational Health and Safety regulations.
4. The individual will understand the social, economic and cultural relationships in worker communities.

### **Applicable laws, regulations and other requirements relevant to the discipline**

The individual will have 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,
- Child Labour,
- Forced Labour,
- Harassment, discrimination and abuse,
- Age and working restrictions,
- Freedom of Movement,
- Freedom of Association,
- Right to collective bargaining,
- Pregnancy and maternity codes and standards,
- Occupational Health and Safety 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.

- The individual will have detailed knowledge of existing relevant development projects involving the site, sector and South Africa.
- The individual will have detailed knowledge of specific requirements in relation to specific WIETA Member contractual requirements.
- The individual will have detailed knowledge of the WIETA code or standard against which an audit is undertaken.
- The individual will have a detailed knowledge of relevant collective agreements.

### **Reading**

The individual will understand and interpret written material with particular reference to payroll, employment records and production and farm records.

### **Writing**

1. The individual will have good written communication skills.
2. The individual will produce written documents that can be understood by the intended audience.
3. The individual will produce clear and accurate reports on audit findings and clearly articulate these in relation to legal requirements and
4. The WIETA codes.

### **Listening**

The individual will understand and interpret verbal material.

The individual will understand and interpret non-verbal communication, such as gestures, and personal expression.

### **Numeracy**

The individual will understand and interpret number systems and their significance.

### **Oral presentation**

The individual will have good oral communication skills, which is appropriate and makes him/her understood by the intended audience.

The individual will provide clear and accurate oral representation on audit findings at closing meetings and clearly articulate these in relation to legal requirements and relevant codes.

### **Interviewing**

1. The individual will be experienced in different types of interviewing techniques.
2. The individual will understand the principles of sampling techniques with respect to group or individual interviews and cultural considerations.
3. The individual will have the ability to interview personnel without compromising the source of information.
4. The individual will deal discreetly with personnel who may feel compromised or feel uncomfortable being interviewed.

**Facilitating meetings**

The individual will effectively control and manage meetings during the audit.

**Language**

The individual will be a fluent speaker and reader of the language(s) used by managers, administrators and workers of the organisation being audited.

Under circumstances where the individual's linguistic skills are limited, the individual will communicate effectively through an interpreter.

**Technical language**

The auditors will have knowledge of the technical language employed on site, depending on the industry or sector.

**Fraud detection**

The individual will understand and have the skills to detect commonly used methods of document manipulation and fraudulent actions.

**Education**

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.

**Work experience**

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

**Auditor training**

The individual will have undertaken and successfully completed a course or courses in relation to labour and health and safety specific standards, the WIETA and other relevant codes or conventions.

The individual will have undertaken and successfully completed courses which impart knowledge of effective auditing skills/ methodology and other skills e.g. investigative and analytical skills

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

**Audit experience (auditor)**

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 two satisfactory audits shadowed by a competent lead auditor.

**Audit experience (lead auditor)**

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.

**Audit experience (worker interviewer / focus group facilitator)**

1. The individual will have solid experience and a sound track record in undertaking worker interviews and conducting focus group discussions.
2. The individual will initially have satisfactorily completed five days of onsite worker interviews under the direction and guidance of a competent lead auditor.
3. The individual will have undertaken at least three satisfactory audit days involving worker interviews and /or focus groups as an interviewer shadowed by a competent lead auditor.

**Appointment of Auditors**

Auditors are independent consultants that are appointed to undertake audits for WIETA.