



SCHEME ASSURANCE AND OVERSIGHT FRAMEWORK

V5 2025

1. Introduction

The South African wine and related industries have adopted ethical parameters by which it has come to measure its impact in tackling many of the widespread development challenges affecting those employed in wine production and other agricultural products. The Wine and Agricultural Ethical Trade Association trading as WIETA, has custodianship of the WIETA Code and Standard, adopted within the South African Wine Industry to ensure the minimum employment standards that the wine industry and its producers and suppliers, hereto as subscribers to the association commit themselves to. Workers' protection is the highest aspiration of the Code.

Third-party social audits are an important tool for assessing and improving the social and environmental performance of companies. WIETA has appointed third party audit firms responsible for conducting these audits and providing assurance against the WIETA Standard to WIETA member companies and their suppliers to determine performance against said standard.

It is important to ensure that audit firms adhere to high standards of quality assurance to ensure that the audits they conduct are reliable and credible. This policy establishes guidelines for monitoring the quality assurance of Audit Bodies that conduct social audits.

2. Objectives

The objectives of this Audit Assurance policy framework is to:

- Outline the Governance Structure of WIETA as a Scheme Owner
- Provide the guidelines that seek to ensure that audit firms adhere to high standards of quality assurance aligned to the WIETA Audit Process and Methodology
- Establish a framework for the monitoring the quality assurance of audit firms that conduct social audits
- Provide a mechanism for resolving disputes arising from social audits
- Prescribe the requirements for ensuring that stakeholders have access to reliable and credible social audit reports
- Encourage continuous improvement in the quality and reliability of social audits

3. Scope

This policy applies to all activities, procedures and rules governing the requirements, professional conduct and monitoring of audit firms appointed by the Scheme to undertake social audits within the wine industry and aligned sectors. It covers the following areas:

- Criteria for selecting audit firms
- Competency requirements for social compliance auditing
- Rules and procedures for conducting social audits
- Reporting requirements for social audits
- Dispute resolution procedures
- Monitoring and evaluation of audit firms

Monitoring the quality assurance of Audit Bodies that conduct social audits is critical to ensuring that these audits are reliable and credible. This policy provides a framework for monitoring the quality assurance of Audit Bodies and ensuring that they adhere to high standards of quality assurance. By adhering to this policy, companies can ensure that their social audits are reliable and credible, and that they are able to demonstrate their commitment to sustainability and social responsibility to stakeholders.

4. Scheme Governance

4.1 WIETA

WIETA is established as a voluntary multi stakeholder not for profit structure and is administered for the sole purpose of promoting ethical trade through the wine and agricultural value chain towards a transformed sector.

The Scheme is a body corporate with its own legal identity separate from its members. The Association shall continue to exist even if the members change and may own property, enter into contracts, and sue or be sued in its own name.

The Scheme, acting through its General Meeting, shall have all the powers necessary for it to carry out its stated objectives effectively.

The scheme fulfils the following objectives

- a. to formulate, adopt, periodically review, modify and improve an ethical code of good conduct governing labour and social standards for those involved in the wine and agricultural value chain
- b. To promote the adoption of and adherence to the ETHICAL CODE OF GOOD CONDUCT amongst producers and growers engaged in the wine and agricultural value chain.
- c. To implement relevant independent monitoring mechanisms to ensure that members of the Association within the wine and agricultural value chain observe and implement the ethical code of good conduct.
- d. To determine ways of encouraging implementation of and compliance with the code, including (but not limited to) identifying support mechanisms for members to attain best practice and identifying recommendations on steps to be taken towards sustained ethical practices.
- e. To determine measures to be taken in the case of non adherence to and violations of the ethical code of conduct.
- f. To secure and maintain recognition and endorsement of this ethical code of good conduct and the monitoring and accreditation process amongst retailers and consumers within South Africa and internationally.
- g. To co-operate with organisations having similar aims and objectives, both nationally and internationally.

4.2 Role of General Members

The general members make up the membership to the Scheme. Membership is voluntary.

‘Categories of Members’ and ‘Categories of Membership’ means

- Growers and producers (cellars and traders), bottlers, exporters and importers, or bodies representing growers and producers, and temporary employment services involved in primary and secondary agricultural processes.
- Retailers and Wholesalers of agricultural products.
- Registered Trade unions in the agricultural sector.
- Government departments.
- Civil Society organisations including but not limited to non-profit organisations, non-governmental bodies (NGOs), social movement trade unions and community-based organisations that are involved with or have an interest in the implementation of labour legislation and tenure security legislation within the agricultural sector.
- Individuals and/or organisations that support and have an interest in the agricultural sector.
- Any other category of membership conferred upon a new member by the Board.

Membership of the Association shall be open to all persons or bodies as defined that support and have an interest in promoting the objectives of the Scheme.

The Board may admit further Members from time to time subject to due compliance with any conditions of membership (including payment of any membership fees, adherence to the Association's Code of Conduct and Standard which the Board may stipulate from time to time.

The Board shall, upon accepting new members, confer Categories of Membership on the new Members.

The Board may suspend or terminate the membership of any member for any reason provided that at least (14) fourteen days prior written notice is given to all Members of the Board and to the Member concerned of the intention to terminate a membership. The notice to the Member concerned shall invite him to make written or verbal representations to the meeting as the Member may consider appropriate.

Any applicant who has not been accepted as Member and any Member whose membership has been terminated or suspended by The Board, may lodge an appeal, in the prescribed format and within the prescribed time period as determined by the Association, against such decision by the Board to the Annual General Meeting, or the committee appointed by the Annual General Meeting, for that purpose.

4.3 Structure of the Scheme

The Scheme consists of the following structures:

- a) The Members in General Meeting.
- b) The Board.
- c) Board Committees
- d) Executive Management

e) WIETA staff

4.4 General meetings

4.4.1 Annual General Meetings

An Annual General Meeting of the Association shall be held within a period of fifteen (15) months of the adoption of this Constitution. Subsequent Annual General Meetings shall be held within six (6) months of the end of each financial year.

Annual General Meetings shall be convened by the Chairperson on not less than twenty-one (21) days prior written notice to all Members entitled to attend meetings. This notice shall state the date, time and place of the meeting and shall include the proposed agenda.

The business of an Annual General Meeting shall include:

The presentation and adoption of the Annual Report of the Chairperson.

The consideration of the Annual Financial Statements.

Election of the Members to serve on the Board.

The appointment of auditors.

Other matters as may be considered appropriate.

4.4.2. Other General Meetings

Other General Meetings of the Association shall be convened at any time by the Chairperson or at the written request of:

The Board; or One quarter of the Members of the Association.

Any General Meeting other than the Annual General Meeting shall be convened on notice in the same manner as an Annual General Meeting provided that should the Chairperson, having been requested to give such notice, fail to give it within seven (7) days of the request, the persons requesting the meeting shall be entitled themselves to give notice of and to convene the meeting.

4.5 Quorum

A quorum constituting a General Meeting of the Association shall be the lesser of – fifteen (15) members, or twenty percent (20%) of the Membership of the Association.

Provided that at least one member organisation representing each of the voting categories as defined being present, namely Growers/Producers, civil society organisations and trade unions.

Should any General Meeting have been properly convened but no quorum is present, the meeting shall stand adjourned to another date, which shall be within twenty-one (21) days thereafter. The notice reflecting such adjournment shall be given to the persons and in the manner provided for in this Constitution. At such reconvened General Meeting, the Members then present or represented by proxy shall be deemed to constitute a quorum.

4.6 Resolutions and Voting

At all General Meetings, a resolution put to the vote shall be decided by means of a show of hands or by ballot. A vote by ballot shall be held only if demanded by the Chairperson or not less than one third (1/3) of the persons voting in person or by proxy. The result of the vote shall be the resolution of the meeting.

Members of the Association acknowledge that –

there are many more potential growers and producers than registered trade unions and civil society organisations (NGOs); and as it is probable that trade unions and non-profit organisations as Members of the Association will always be significantly outnumbered by growers and producers, it is necessary to attach an equal weight to these three Categories of Members as provided for in clause 9.4.3 below.

In the event of there be an equality of votes amongst the Members, the Chairperson shall have a casting vote.

A Casting vote shall not be necessary if the decision to be taken does not have the agreement by Members of the Categories mentioned above.

4.7 Minutes

Proper minutes shall be kept of the proceedings of all General Meetings, and a record of the persons present at each meeting. The minutes shall be signed by the chairperson of the meeting, and shall be available for inspection or copying by any member on reasonable notice to the Secretariat.

4.8 Role of Board

The WIETA Board comprises duly nominated representatives of the following categories WIETA members:

4.8.1 Voting Board Members

- Five (5) representatives of either growers or producers or bodies representing growers and producers.
- Two (2) representatives of Civil Society organisations.
- Three (3) representatives of registered trade unions.

4.8.2 Non-Voting Board Member

- Two (2) representatives of government, of which at least one shall be from the Department of Labour.
- Chief Executive Officer (CEO) (Ex Officio)

4.9 Powers of the Board

The affairs of the Association shall be controlled and managed by the Board and subject to the terms of this constitution.

The Board shall make the final decision concerning the accreditation of producer members in terms of the Code of Good Conduct.

The Board shall consider and decide on any alterations or amendments to the Code of Good Conduct.

4.10 Election

The Members of the first Board shall be elected at the General Meeting at which the Constitution is adopted and shall hold office until the second Annual General Meeting held after their appointment. Board Members shall resign at the second annual general meeting held after their election.

Only certain Categories of Members shall be entitled to nominate representatives to the Board. The government representatives shall be selected in accordance with the policies of that Department.

4.11 Resigning Board Members shall be eligible for re-election or co-option.

Only producer, trade unions and civil society members of the Association may respectively nominate a representative from their respective category to serve on the Board.

Member organisations nominated and elected from the recognised categories can only hold one seat on the Board.

4.12 Vacation of office

The office of a Board Member shall be vacated if a member –

resigns; or

becomes unfit and/or incapable of acting as such; or would be disqualified, in terms of the Companies Act or equivalent legislation in force from time to time, from acting as a Director of a Company; or

is removed by The Board, by resolution adopted by at least three-quarters (3/4) of its in office from time to time, being not less than the required minimum of ten (10). The decision of The Board to remove a Member of The Board from his/her portfolio shall lapse unless confirmed by a resolution of two thirds of the Members of the Association present at the next General Meeting.

Should a position on the Board fall vacant, The Board, by resolution adopted at least two-thirds (2/3) of its members, may (and if the vacancy reduces the number of members to less than ten [10], shall) co-opt a Member/s to fill the vacancy/ies. The office of any person so co - opted as member of The Board shall lapse unless confirmed by resolution of members at the next General Meeting.

4.13 Alternates

Each member of the Board shall have the power to appoint any other member as his/her Alternate during an absence or inability to act as such; or to appoint as Alternate any third party, provided such third party has been approved by a majority of the other members of the Board.

An Alternate shall be entitled and required to exercise all the powers and discretions of the Board member whom she/he represents, subject to any direction contained in a written instruction from the member so represented.

4.14 Procedures at Meetings

The Board shall conduct its meetings and regulate its proceedings as it finds convenient, provided that:

A Chairperson and a Deputy-Chairperson shall annually be elected by the Board at its first meeting following the annual general meeting. They will also act in these capacities at the annual general meeting and all other general meetings.

The Chairperson, in his absence, the Vice-Chairperson, shall chair all meetings of the Board, which he attends. In the absence of the Chairperson and the Vice-Chairperson, the remaining Members of the Board shall elect a chairperson from those attending.

The Chairperson shall convene a meeting of the Board, at least quarterly or at the written request of any two (2) Members of the Board and may convene such a meeting at any other time.

The quorum necessary for the transaction of any business by the Board shall be five (5) members plus one (1) of the Board serving at any given time, provided that at least one Board Member representing each of the Voting Board Members as defined being present, namely Growers/Producers, civil society organisations and trade unions.

At meetings of the Board each Member present or represented shall have one (1) vote.

The Chairperson shall have a Casting Vote.

Proper minutes shall be kept of the proceedings of The Board, and a record of the persons present at each meeting. The minutes shall be signed by the Member who chairs the meeting, and shall always be available at all times for inspection or copying by any member of the Board, and on reasonable notice to the Secretary or his deputy, by any Member of the Association.

A resolution signed by all Members of the Board shall be as valid as if passed at a duly convened meeting of the Board and such resolution may consist of several documents in the same form, each of which is signed separately and shall be deemed (unless a statement to the contrary is made in the resolution) to have been passed on the date on which it was signed by the last Member who signed it.

4.15 Rules of procedure

The WIETA board shall in accordance with the WIETA Constitution has clear rules of procedure that outline how decisions will be made and how business will be conducted.

4.16 Decision-making process

The decision-making process must adhere to the following guidelines:

- Consensus-based decision-making: The board must strive to make decisions through a consensus-based process that encourages dialogue and shared understanding among board members.
- Transparent decision-making: The decision-making process must be transparent, with clear information provided to all board members regarding the issues being discussed.
- Majority voting: If consensus cannot be achieved, decisions must be made through a majority voting process.

- Accountability: The board must be accountable to stakeholders for its decision-making processes and the outcomes of its decisions.

4.17 Stakeholder engagement

The WIETA board must engage with stakeholders in its decision-making processes. The following guidelines should be followed:

- Clear stakeholder identification: The WIETA Board must identify and engage with all relevant stakeholders in its decision-making processes.
- Meaningful consultation: The WIETA board must ensure that stakeholder engagement is meaningful, transparent, and inclusive, allowing stakeholders to provide input through various channels.
- Stakeholder input consideration: The WIETA board must consider stakeholder input when making decisions.

4.18 Conflict of interest

The Board must ensure that conflicts of interest are prevented or managed effectively.

4.19 Delegation of Powers

The Board may delegate any of its powers to any of its members, or to a sub – committee/s. The member, committee, employee or agent to whom such delegation is made shall conform to any regulations and procedures that may be stipulated by The Board from time to time.

4.20 Appointment of Chief Executive Officer/Officers/Employees

The Board appoints a Chief Executive Officer and other officers and employees, as it may consider necessary from time to time upon such terms and conditions as it may consider appropriate.

4.21 Role of Assurance Committee

The Assurance Committee oversees policy developments impacting the Standard and Audit Process and Methodology, and reviews and recommends policy, programme development and guidelines for best practice within the Scheme.

The Committee is a multi-stakeholder structure and comprises Board representatives from industry bodies, producers, trade unions and civil society and any co-opted stakeholder with relevant expertise to inform policy direction.

The Committee members are elected by the WIETA Board following a Board election every two years.

4.22 Role of Expert Panel

The Expert panel is a panel of experts in fields related to the specific matters considered below, appointed on an ad hoc basis to act as advisory to the Management team, CEO and Accreditation Committee in matters pertaining to

- Disputes on audit findings
- Interpretation of the Standard
- Interpretation of legislative requirements and practical implications thereof
- Development of Policy

4.23 Role of Standards Technical Committee

The Standards Technical Audit Committee, monitors the WIETA standards review process, considers written submissions made and signs-off on the recommended changes to the WIETA Standard for presentation to the WIETA Board for adoption.

The committee has a multi stakeholder composition and comprises representation from the WIETA Board and Accreditation Committee, industry bodies, trade unions, civil society, retailers, academics, auditors, subject experts, WIETA management and co-opted stakeholders.

5. Standards Setting

5.1 Introduction

Version 3 of the WIETA Code and Standard incorporated the principles that allowed for the Code and Standard to be benchmarked during the equivalence process of the Global Social Compliance Programme (GSCP), a programme of the Consumer Goods Forum, in 2015. The principles further set out to comply with provisions of prevailing South African labour and health and safety legislation and international labour and health and safety standards, United Nations ('UN') and International Labour Organisation ('ILO') Conventions.

Version 5 (2025) is set to incorporate the latest amendments to South African and International Labour and Occupational Health and Safety Legislation, including international Human Rights Due Diligence requirements. The revised new version is set to ensure that the Code and Standard meets the requirements of various global benchmark requirements to ensure s WIETA is recognised as a Social Standard in global wine and agricultural markets.

The review process is further aimed at ensuring that the standard is practical, implementable and sustainable, whilst ensuring that the aim of the Code and Standard is achieved. Following the review process, it is intended that a separate Standard would be created for each of the following categories of employers. All the principles of the Code will be incorporate in each standard.

- Cellar Standard;
- Producer Standard;
- Smallholder Standard;
- Temporary Employment Service Standard.

5.2 Review Process

5.2.1 WIETA Technical Audit Committee

The WIETA Technical Audit Committee, a multi-stakeholder body, will monitor the review process, consider written submissions made and will give sign-off on the recommended changes for presentation to the WIETA Board for adoption.

5.2.2 Public Consultation

The Code principles and Standard requirements set out to comply with provisions of prevailing South African labour and health and safety legislation and international labour and health and safety standards, United Nations ('UN') and International Labour Organisation ('ILO') Conventions.

During the review process the current Code principles, Standard requirements and written submissions will be considered against the above and the 10 ISEAL Credibility Principles for Standard Setting:

- | | |
|-------------------|------------------|
| 1. Sustainability | 2. Impartiality |
| 3. Improvement | 4. Transparency |
| 5. Relevance | 6. Accessibility |
| 7. Rigour | 8. Truthfulness |
| 9. Engagement | 10. Efficiency |

The following groups of stakeholders and/or persons and/or organisations that represent the interests of any of the listed stakeholders will be encouraged to partake in the following workshops.

- Workshop 1: Retailers
- Workshop 2: Brands and Cellars
- Workshop 3: Producers
- Workshop 4: Small Producers
- Workshop 5: Civil Society and Trade unions
- Workshop 6: Temporary Employment Services

5.2.3 Review process:

During the Review process all documentation is made available on the WIETA Website and the public is invited to participate.

5.2.3.1 Phase one:

All stakeholders identified are provided with an opportunity to submit written submission on the Code and Standard. At least 60 Days will be allowed for initial submission.

Various workshops are held during Phase one. All written submission submitted prior to the workshops are attended to during the different workshops. It is required for all participants to submit written submission prior to attending the workshops. Following the workshops additional opportunity will be allowed for further comments.

WIETA Management prepares all submission with recommendations for amendments for submission to the Audit Technical Committee.

5.2.3.2 Phase two:

A reviewed Code and Standard is made available for consultation for a period of at least 30 days.

All written submissions are made publicly available. The review process will be aimed at reaching consensus between the different stakeholders, while ensuring that the purpose and objective of the Code and Standard are being upheld. If necessary, additional consultation are held.

5.2.3.3 Phase three:

The revised Code and Standard is signed-off by the Audit Technical Committee. Final approval of the Code and Standard is required by the Board.

5.2.3.4 Phase four:

The adopted revised Code and Standard is made available to all stakeholders and audit participants. A date for implementation of the revised Code and Standard is communicated once the final Standard has been approved by the WIETA Board.

5.2.4 Subsequent Reviews

Following the acceptance of Standards revisions, the WIETA Standard is reviewed at the latest within 5 years. However, where South African labour legislation is amended from time to time, and the conditions of the legislation provide more favourable terms and conditions of employment in the sector, or, where the members of the association agree to more favourable terms and conditions of employment than those stipulated in labour legislation and it affords the highest protection to workers, the Code and Standard will be amended accordingly.

Where requirements are added, deleted or amended before the next full review of the Standard, amended versions were communicated and made available on the WIETA website at <http://www.wieta.org.za/>.

It is required that the WIETA Standard be reviewed every three to five years. This process includes multi-stakeholder public consultation. Version 6 of the Code and Standard is scheduled for review in 2028.

5.2.5 Equivalence Requirements

In order to align the WIETA Standard with international market requirements and criteria for recognition, the WIETA Scheme will undertake equivalence and benchmarking processes against technical regulations required by local legalisation and / or international regulations, benchmarking against other standards and ethical Codes such as Amfori BSCI and SEDEX's SMETA and international equivalence platforms such as the Consumer Goods Forum's Sustainability Supply Chain Initiative, the Sustainable Wine Round Table Initiative and the ITC's Standards Map. For a fee, WIETA offers to upload Amfori BSCI and SEDEX's SMETA's audit reports onto the Ethical Trade platform in order to receive WIETA Assurance.

The Sustainability Initiative of South Africa (SIZA) is the WIETA equivalent Standard Owner for the fruit industry. There are various similarities between the WIETA Standard and SIZA Standard, but WIETA will unfortunately not accept SIZA Assurance as a standalone instead of WIETA Assurance. There are some differences within the Standards that have led to this decision. To accommodate members who need to adhere to both Fruit and Wine Industry standards, WIETA and SIZA have committed to offer what is known as a Combined WIETA/SIZA Audit to save auditing costs for members.

6. Overall Assurance Management System

6.1 Description of the system

The WIETA Assurance Management System has been developed to provide robust and impartial assurances of the management of risk in respect of the ethical performance at cellar and farm level, as well as where temporary employment services are audited independently. The programme subscribes to the following which can be used to mitigate and manage risk:

- Visibility of a supplier on the WIETA on-line system.
- Transparency allowing the supplier to share information on compliance status at the request of buyers.
- Third Party Audit Assurance against a robust standard that is consulted on every three to five years
- A Quality Assurance Management System aimed at monitoring the quality requirements for third party delivery of a professional audit outcome.
- Commitment to improvement – the supplier must demonstrate a commitment to improve on their conditions of work and the sustained fair treatment of workers. This includes the attendance to Producer Code Compliance and Worker Rights Training programmes.
- Of legal compliance levels and respect for the WIETA Code and continually provide information that supports this.

The programme subscribes to being improvement-led rather than audit-led and uses the WIETA Ethical Performance Risk Matrix to support this position. It creates four categories of risk - A, B, C and D based on audit results and corrective action implementation, where Category A the most stringent qualifying criteria. The risk matrix system, is designed to allocate an impartial risk categories A to D, based on the number and severity of findings. Improvement in risk can be earned through the improvement in audit results, with the system allocating higher category risks based on improved results, where the reward for this is a less frequent audit.

The Programme also builds into the system a range of tools beyond the audit that if used in combination rather than isolation, will provide more extensive cover and management of risk between audits making the programme more robust. For example, the programme will involve various verification activities such as site visits and desk-top assessments that will take place between audits. In addition, all sites will be required to up-date and renew their SAQ on the WIETA On-Line system (www.ethicaltrade.co.za) on **an annual basis**. Annual renewal functionality on the online system will be announced at a later stage. While audits may not take place annually or every two years for some members, the measurement of compliance between the audits remains robust and in place.

The WIETA programme has identified various activities and actions that will be in place in order to mitigate and manage risk. Whilst the audit is an important component of this, it is the activities between audits that will support sustainable improvement. These are as follows:

➤ **Awareness-raising and Training**

An informed supply base helps to manage risk through suppliers being made more aware of potential risks and means of mitigating this. Awareness- raising activities and training programmes should be in place and ongoing. WIETA provides funded, partially funded and low-cost opportunities to involve site management and workers in ongoing training and refresher courses. Participation in these activities are deemed important and will be measured and included in a site's risk-rating.

➤ **Tools**

These include participation in the WIETA programme Producer Compliance, Refresher Training & Worker training workshops; DVD's; Worker Labour and Health and Safety Toolkits, online training, the WIETA Toolkit and resources (available on our website www.ethicaltrade.co.za), the WIETA Housing Guidelines, WIETA capacity-building and support programmes and materials; going on-line at www.ethicaltrade.co.za and hard copy publications etc.

6.2 Assessment (Measurement of risk)

6.2.1 Tools

- ✓ **Self-assessment** will be managed by the WIETA online system. Members are required to renew the SAQ on an annual basis. Failure to renew the SAQ on the on-line system will result in the system classifying the member as inactive and therefore the system will not be able to issue assurance on an annual basis. Once the SAQ has been completed and or verified annually, results of the SAQ will be measured against audits to ensure accuracy of the SAQ. Significant discrepancies between the information contained on the SAQ and the findings made during the audit will be taken into consideration when determining the overall risk rating for the site which could, in turn, affect the audit frequency.
- ✓ **Third Party Assessment** – All WIETA audits will be conducted by approved third party audit bodies from 1 September 2019. Approved audit bodies are available on the WIETA online system under audit request. Only approved audit bodies can conduct an audit against the WIETA code and standard V5 (2025).
- ✓ **WIETA audit information:** Audit reports are available on the on-line platform since November 2016 and provides visibility and transparency to retailers, exporters, importers and the industry

where the member gives access to the information on the platform. The audit will enable the site to reflect on its own ethical performance against the WIETA Code and the effectiveness of its own systems.

- ✓ **Risk Classification** – The on-line system will automatically generate a risk rating on the audit report and audit assurance, if granted, based on the number and severity of non-compliances and findings raised during the audit and completion of corrective actions. This will in turn generate an automatic cycle of audit frequency of between one to three years.
- ✓ **Verification assessment of corrective actions**
 - Desktop – review of corrective action plans submitted and sign-off of corrective actions will be conducted by the lead auditor that conducted the audit.
 - Site visits – can take place to confirm visual verification of corrective actions that cannot be reviewed by desktop.

6.3 Follow up action

There are various tools that enable appropriate responses to risk:

- ✓ **Corrective action plan (CAP) reports** – the member is required to submit evidence and a description of corrective actions undertaken against all non-compliances in the audit report. All corrective actions must be submitted on-line at www.ethicaltrade.co.za. The **WIETA on-line platform** will monitor progress in the completion of corrective actions.
 - All Corrective Actions need to be undertaken within the agreed time frames of between 0 and 120 days and completed on the on-line system within the required period.
 - The completed Corrective Action Report must be uploaded online **within 4 months of audit**.
 - All evidence of corrective actions need to be submitted online **no later than 6 months** following the audit.
 - If the Corrective Action Report is not approved in its entirety **within one year** of date of audit, the CAP report will lapse automatically and no audit assurance will be issued.
 - Audit assurance therefore needs to be approved *within one (1) year of audit date* to ensure that audits do not lapse.
 - Producers who do not agree to this policy will have their registration reviewed.
- ✓ **Continuous Improvement monitoring through the Continuous Improvement Plan** –
 - Improvement Plans and commitments in relation to longer term improvements will be monitored on the on-line system.

- Prior to 1 August 2019 employment sites could demonstrate continuous improvement where corrective actions could not be closed and show 'improvement' on the on-line system through uploading further evidence on their Continuous Improvement Plan. Known as Conditional Assurance, the conditions did not have any impact on the audit rating.
 - From 1 August 2019, where producers are unable to finalise a corrective action and it is conditionally approved due to longer term corrective actions, evidence must be uploaded linked to annual improvement in areas such as housing or seasonal changes in working conditions. If the initial evidence of said finding can be evaluated and closed off, Audit Assurance with C grading will be issued.
- ✓ **Zero Tolerances, Critical and Alert notifications** – Where Zero Tolerances are detected on farm and a Critical non-compliance was raised, alert notifications must be sent by the auditor to the audit body and WIETA. Critical non-compliances are defined in the ***WIETA Audit Process and Methodology Policy, Alert Notification Policy document*** and ***Classification on Best Practice, Observation, Major, Minor and Critical Non-Compliances***.
- ✓ **WIETA Grievance and Standards Violations Process** - A formal grievance mechanism which is in place to receive complaints and deal with these in an appropriate and restorative manner. Any stakeholder, including workers can use the WIETA WhatsApp line, call the hotline or submit an email to WIETA with queries or complaints.

6.4 Audit Cycle

- Audits need to be undertaken within 18 months of acceptance into the WIETA Online profile.
- All audit participants are encouraged to keep with their audit cycle to ensure internal due diligence in implementing the ethical code of conduct. Audit Assurance Letters for audits that took place after 1 August 2017 indicate the audit date on the assurance letter.
- The audit cycle for all audits that took place *before* 1 August 2017, is 3 years from original audit date.
- The audit cycle for all audits that took place *after* 1 August 2017 is indicated on the Audit Assurance Letter, if assurance was approved.
- Audit participants that delay their audit for beyond 30 days from its audit cycle, will be penalised with a major non-compliance under management systems. There will be no penalty for audits that have been brought forward and that have taken place 30 days earlier than the audit cycle date.

6.5 Suspension of Audit Assurance

The WIETA Grievance and Standards Violations Process sets out the process should WIETA receive a complaint that alleges a violation of the WIETA Standard. If the site under investigation does not allow WIETA access to investigate the incident or where access is allowed to investigate and the site is found to have violated the Standard, but fails to undertake any remedial action, audit assurance will be suspended.

6.6 WIETA Fair Labour Product Assurance

6.6.1 Description

Cellars and Wineries that have obtained site assurance can apply for product assurance, i.e. the WIETA Fair Labour Seal. The WIETA Fair Labour Seal provides product assurance that wine within a specific vintage year has been fully traced and that the production cellar, bottling facilities and all the suppliers have completed the WIETA audit and assurance process. This process remains within the management of WIETA.

Traceability is undertaken with the support of independent verification undertaken by SAWIS through the Wine of Origin process. This verification against vintage, origin and cultivar is then evaluated against the ethical assurance status of the growers, production site and bottlers at the time of intake of the grape in the particular vintage year.

Refer to the *Use of the Fair Labour Seal V 4 (2022)* for details on the process.

6.6.2 Guidelines for the use of the WIETA logo and Fair Labour Seal

6.6.2.1 Purpose:

The purpose of this policy is to provide clear guidelines for the appropriate and consistent use of the WIETA logo and the WIETA Fair Labour Seal. These guidelines aim to ensure brand integrity, protect the reputation of WIETA and maintain consistency across all platforms.

6.6.2.2 Logo Ownership and Authorization:

The WIETA logo and Fair Labour Seal is the exclusive property of WIETA. Authorization from the WIETA Assurance scheme is required for any individual or organization to use the WIETA logo and Fair Labour Seal.

6.6.2.3 Authorized Use

6.6.2.3.1 The WIETA Logo



Only authorized participants are permitted to use the WIETA logo.

Authorized participants must adhere to the guidelines provided in their WIETA Seal agreement and any additional guidelines provided by WIETA.

The logo can under no circumstances be used on any wine product or packaging.

6.6.2.3.2 The Fair Labour Seal

Only upon the successful application of the Fair Labour Seal Traceability will participants be permitted to utilise the Fair Labour Seal on their products

Authorised participants will need to adhere to the specification guidelines within the Fair Labour Seal policy, provided by WIETA

Approved persons must follow the strict guidelines for the placement of the Seal on products and packaging.

The Fair Labour Seal may under no circumstances be placed on any product that has not gone through a thorough traceability process and received the Fair Labour Seal Agreement and Letter confirming that the product is assured.

6.6.2.4 Logo Design and Modification:

The WIETA logo and Fair Labour Seal must always be used in its original form and should not be altered, manipulated, or distorted in any way, as per specifications provided to authorised persons.

Proportions, sizing, colour, and typography of the logo should remain intact and unchanged.

The Wieta logo and Seal should not be combined with any other logos, trademarks, or graphic elements unless explicitly authorized by the scheme.

6.6.2.5 Placement of WIETA Logo

With permission only, the logo should be displayed prominently and clearly in all relevant communications and materials where the authorised participant wants to highlight their assurance.

The logo should be placed in a visible location and should not be hidden, obscured, or used as a background.

The WIETA Logo may not be used on any product or product label.



6.6.2.6 Logo and Seal Colours

The logo should be reproduced in its original colours as specified by WIETA.

No colour alterations, except for approved black and white versions, are allowed without prior permission.

6.6.2.7 Logo and Seal Size and Proportions

The Logo and Seal should maintain its original proportions and should be legible at all sizes.

Minimum size requirements should be followed as per the guidelines provided to ensure clarity and readability.

6.6.2.8 Logo and Seal Misuse and Responsibility:

Any unauthorized use, alteration, or misuse of the logo will not be tolerated and may result in legal action.

Participants found to be in violation of logo usage guidelines may have their assurance revoked and product removed from public spaces.

6.6.3 Approval Process

Participants seeking permission to use the logo for specific purposes should submit a request to WIETA.

Use of the Seal is undertaken once full traceability has been undertaken, as verified by SAWIS.

WIETA will review and grant authorization based on adherence to the logo usage guidelines.

6.6.4 Updates and Amendments

WIETA reserves the right to modify the logo and Seal usage guidelines as required.

Participants will be notified of any updates or amendments to the guidelines.

6.6.5 Copyright Protection

WIETA's logo is protected by copyright law and is the exclusive property of WIETA. This copyright protection clause governs the use of the Logo and ensures that unauthorized use or reproduction of the Logo is strictly prohibited.



6.6.5.1 Ownership and Rights

WIETA retains all rights, title, and interest in and to the Logo, including any modifications, derivatives, or enhancements thereof. The Logo is protected by copyright laws.

6.6.5.2 Authorized Use

The Logo may be used by authorized, assured member organizations solely for the purpose of promoting or endorsing their compliance to the WIETA Standard, in accordance with the terms and conditions set forth in this policy.

The WIETA logo may not be used on a wine product or packaging.

6.6.5.3 Restrictions

Unless otherwise explicitly permitted in writing by WIETA, the following restrictions apply to the use of the Logo:

- i) **Unauthorized Use**
Unauthorized use of the Logo is strictly prohibited, including but not limited to duplicating, modifying, adapting, distributing, displaying, or using the WIETA Logo in any way that may falsely represent an association with WIETA.
- ii) **Alterations**
The Logo may not be altered, distorted, or modified in any way without prior written consent from WIETA. This includes changing its colour, proportions, or any aspect that may affect its integrity or brand recognition.
- iii) **Endorsements**
The Logo shall not be used in any manner that implies endorsement, sponsorship, or affiliation with any product, service, or organization without the explicit written consent of WIETA.
- iv) **Competitive Use**
The Logo shall not be used in connection with any standard that competes with or is similar to the social audit assurance scheme offered by WIETA.

6.6.5.4 Permitted Use

WIETA grants Authorized Users a non-exclusive, non-transferable, revocable license to use the Logo solely for the purpose of promoting or endorsing the social audit assurance scheme, subject to compliance with the restrictions outlined in this clause.

6.6.5.5 Enforcement



WIETA reserves the right to take necessary legal actions to enforce this copyright protection clause and to seek damages or equitable remedies for any unauthorized use or infringement of the Logo.

6.6.5.6 Termination

WIETA reserves the right to terminate the license to use the Logo at its sole discretion, in the event of non-compliance with this clause or for any other reason, without prior notice.

By using the Logo, the Authorized User agrees to comply with the terms and conditions of this copyright protection clause. Failure to comply may result in legal consequences and termination of the license to use the Logo.

It is important for all WIETA members strictly adhere to these logo and Seal usage guidelines to ensure consistency and maintain the reputation and recognition of WIETA.

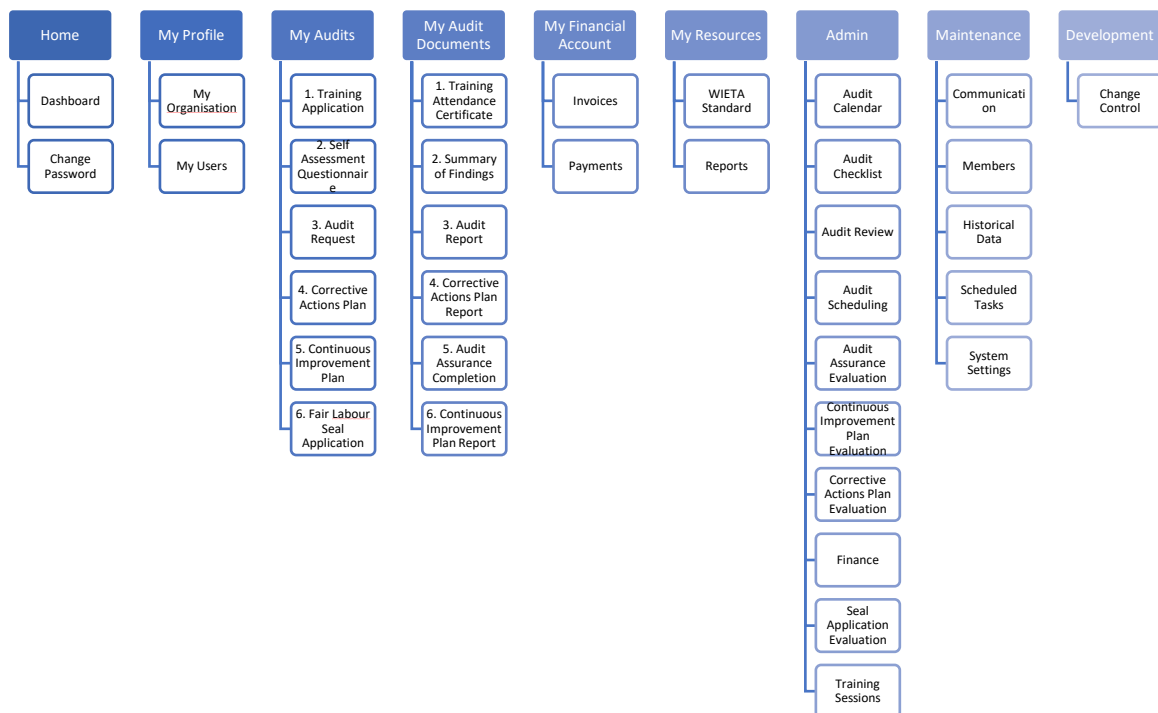
7. WIETA Ethical Trade Online Platform System and Operation

7.1 Overview of system

WIETA's Auditing and Compliance operations are mainly driven through the Ethical Trade Online Platform (www.ethicaltrade.co.za). This system houses all auditing and compliance related information and data including, but not limited to Audit Reports, Corrective Action Reports, Assurance etc. As per below, WIETA has gone to extreme lengths to ensure the integrity of the system, along with the integrity of the data being housed on the system.

7.2 Flow Diagram (Online Assurance System Structure)

The following diagramme serves as a flowchart of the modules contained within the Online Assurance System.



7.3 Data Storage and Integrity

7.3.1 Internal Operations Document Storage

WIETA considers document storage and protection of critical importance to daily operations. The protection of information is also contained within the *WIETA Policy and the Protection of Information*.

The following processes govern the storage and protection of WIETA's documents;

7.3.1.1 Document Classification

Before deciding on the type of storage to be used, all documents should be classified according to their confidentiality level. This classification defines the level of security measures needed to protect the document.

7.3.1.2 Storage Controls

WIETA has implemented security measures for storing physical and electronic documents. Physical copies of sensitive documents should be stored in a locked and secure location such as cabinets. Electronic documents should be stored in the cloud on the One drive under Wine and Agricultural Ethical t/a WIETA. The folders are held in the cloud and key folders are protected and encrypted. Sensitive folders and documents shall also be placed in limited access folders and where needed with password-protected access. Access to sensitive documents should only be given on a need-to-know basis with authorisation from the Chief Executive Officer and monitored by the Operations Manager. The process is monitored by an external service provider, Quantus.

7.3.1.3 Backup Procedures

All documents are backed up in the cloud to ensure the company's ability to restore them in case of loss or corruption. Backup copies are stored in the cloud with secure firewalls and safeguards to safeguard against unauthorized access or theft.

7.3.1.4 Access Controls

Access to documents is restricted only to employees who have a need to review or modify them as part of their routine work duties. Access controls should be enforced at all levels, including physical access to documents and electronic access to databases.

7.3.1.5 Disposal Procedures

WIETA has defined procedures for document disposal, which should be followed strictly. All obsolete or outdated documents, both physical and electronic, should be disposed of properly to protect confidential information. Reputable external shredding agencies are used for this purpose. With

reference to the electronic files being disposed of, the default recycle bin setting is to keep documents for a period of 30 days, after which the documents will be permanently removed. For documents that need to be immediately disposed of, will be manually deleted from the Recycle Bin.

7.3.1.6 Confidentiality Agreements

Employees who have access to confidential documentation should sign a confidentiality agreement. Such an agreement describes their obligations and responsibilities with respect to document storage and protection.

7.3.1.7 Training

All employees shall receive adequate training on document storage and protection policies to ensure they understand their responsibilities with regards to confidentiality, security, and compliance.

Overall, WIETA believes that a well-defined document storage and protection policy is essential in ensuring the confidentiality and integrity, of our assurance scheme. All employees are responsible for implementing this policy, which will be reviewed and updated periodically by the Operations Manager.

7.3.1.8 Documentation Review

All policies, written procedures, and guidelines are reviewed on an annual basis. Updated documents are saved in subsequent versions with the appropriate review date.

7.3.1.9 Access to documentation

All standards, policy and guidelines documents are posted on the website under the appropriate tab. WIETA standards documents are made accessible to members and the public on the WIETA website at [Wieta Toolkit 2023 - WIETA : Wine & Agricultural Ethical Trade Association](#)

7.3.2 Data Governance

WIETA is the custodian of all data including data housed on the WIETA online platform and owns the domain www.ethicaltrade.co.za.

The WIETA platform is hosted on the Wine Online system. The Wine Online system is co-owned by the National Department of Agriculture, Land Reform and Rural Development (DALRRD) and Wines of South Africa (WOSA). The data is stored on two live servers in Cape Town.

7.3.2.1 Data Protection

- Web Based

- This is where the site, code and documents are stored
- Daily backups are done into the cloud
- Database
 - This is where the data is stored

The Disaster Recovery Servers are located in Johannesburg. The live servers are constantly synced with “ghost servers” in Johannesburg. This serves to duplicate the Cape Town servers and will automatically switch on if there is an issue with the relevant server in Cape Town.

7.3.2.3 Firewalls

The webservers have firewalls. Traffic and communication to the database servers and web servers is limited and they have no internet or external communication.

7.3.3 Access Rights in the Online system

7.3.3.1 Developer (Super User – External)

Access to all functionality.

7.3.3.2 Admin (Advisor : Assurance and Ethical Support & CEO - WIETA employee)

Access to all functionality, except developer specific functions (database maintenance, DB Dictionary, script runners, etc).

Access to functions controlled via rights assignment.

7.3.3.3 User (WIETA Member user)

Access to member side of audit. Organisation View and Edit functions; My Audit Function which includes the Training Application, Self-Assessment Questionnaire, Audit Request, Corrective Actions Plan and Continuous Improvement Plan. My Audit Document Function which includes Training Attendance Certificate, Summary of Findings, Audit Report, Corrective Action Plan Report, Audit Assurance Letter and Continuous Improvement Plan Report.

Access to functions controlled via rights assignment.

7.3.3.4 Social Compliance Auditor

Access to admin side of audit for audits assigned to them only. Admin rights limited to the following areas on the Ethical Trade Platform: Audit Checklist, Audit Review, Continuous Improvement Plan Evaluation, Corrective Action Plan Evaluation.

Access to functions controlled via rights assignment.

7.3.3.5 Social Compliance Audit Administrator / Scheduler / Audit Manager

Access to admin side of audit for all within organisation. Admin rights limited to the following areas on the Ethical Trade Platform: Audit Calendar, Audit Scheduling and Audit Assurance Evaluation.

Access to functions controlled via rights assignment.

7.3.4 Access to Scheme Documents and Information

All WIETA's Documents and Resources are available to the public in various ways. Members and Stakeholders can utilise the availability of these resources to ensure better ethical footing or compare current policy alignments with that of international standards.

The WIETA Website (www.wieta.org.za) hosts access to the WIETA Toolkit which contain valuable resources such as document templates, policies, procedures and guidelines. To access this, the following link can be used [WIETA Toolkit 2023](#). These resources and links are also made available through communication on the Ethical Trade Platform, Bulk Emailing, Monthly and Quarterly Newsletters. WIETA also communicates these resources, and the availability thereof at various Information Sessions and Roadshows.

8. Quality Assurance Management System

8.1 Overview

The importance of having a robust quality management assurance system in place to meet the requirements for best practice social compliance auditing is addressed in this section. The quality assurance system is designed to monitor and manage the requirements and quality of third-party audit bodies.

A comprehensive quality management assurance system is essential to address the potential risks and challenges associated with third party auditing against the WIETA standard V5 2025.

The primary objective of the quality management assurance system is to minimize risks and ensure that third-party audit bodies meet the defined performance and quality expectations and requirements. It encompasses the requirements for appointments, the audit policies, procedures, processes and practices aimed at monitoring, reviewing, evaluating, and managing social compliance audit requirements of the WIETA Standard.

8.2 Audit Body Requirements

WIETA selects Audit Bodies that meet the following criteria:

8.2.1 Independence

Audit Body must be independent of the company being audited and have no financial or other conflicts of interest.

8.2.2 Experience

Audit Bodies must have experience in conducting social audits and provide evidence of their competence aligned to the WIETA criteria for selection, the WIETA Auditor Competency Policy and the Association for Professional Social Compliance Auditors (APSCA).

8.2.3 Accreditation

Audit Bodies must be accredited by a recognized ISO accreditation body and follow recognized standards and procedures for conducting audits.

8.2.4 Qualifications

Audit Bodies must have the necessary qualifications, education, and training to conduct audits in the relevant areas.

8.2.5 Compliance

Audit Bodies must comply with all relevant laws and regulations and ethical standards as well as WIETA requirements as set out in the APM V5 2025 and related documentation.

Refer to the Rules and procedures for conducting social audits as set out in the APM V5 2025 and related documentation.

8.2.6 Tendering Processes for Audit Bodies

8.2.6.1 Introduction

From time to time, and as required by changing internal policy, demand for additional capacity and / or based on performance reviews, WIETA invites interested and qualified Audit Bodies to participate in the tender process for the appointment as a certified third-party Audit Bodies for our social scheme. The purpose of this tender is to ensure that the selected Audit Bodies can effectively assess and verify compliance with our social scheme's standards.

8.2.6.2 Scope of Work

The selected third-party Audit Bodies will be responsible for conducting independent audits and audit assuring organizations' compliance with the requirements of our social scheme. This includes evaluating and assessing factors such as labour practices, social accountability, ethical sourcing, health and safety, and other relevant criteria.

8.2.6.3 Eligibility Criteria

Interested Audit Bodies must meet the following eligibility criteria to participate in the tender process:

8.2.6.3.1 Proven experience

Demonstrated experience in providing audit assurance services for social schemes or similar programs.

8.2.6.3.2 Accreditation

A relevant and valid accreditation from a recognized assurance body.

8.2.6.3.3 Availability of resources

Sufficient and competent APSCA certified auditors to conduct audits and audit assurance processes effectively.

8.2.6.3.4 Ethical standards

A commitment to upholding ethical practices and proven systems for undertaking and maintaining impartiality, professionalism and independence throughout the assurance process.

8.2.6.3.5 Compliance

Compliance with and an understanding of relevant international standards related to audit assurance processes.

8.2.7 Tender Process

8.2.7.1 Expression of interest

Interested Audit Bodies must submit an Expression of Interest providing their basic information, credentials, and a brief explanation of their relevant experience.

8.2.7.2 Request for Proposal (RFP)

Qualified Audit Bodies will receive the RFP, which will outline the detailed requirements, deliverables, timelines, and evaluation criteria.

8.2.7.3 Proposal submission

Audit Bodies will prepare and submit a comprehensive proposal addressing all requirements outlined in the RFP.

8.2.7.4 Evaluation

Proposals will be evaluated based on predetermined criteria, which may include adherence to the requirements, technical competencies, experience, price, and resource availability.

8.2.7.5 Site visits and interviews

Shortlisted Audit Bodies may be required to attend site visits and interviews to further assess their capabilities and compatibility with our organization.

8.2.7.6 Contract negotiations

The top-ranked Audit Bodies will enter into contract negotiations to establish terms, conditions, and pricing for their services.

8.2.7.7 Contract award

Upon successful contract negotiations, the selected Audit Bodies will be awarded the contract to become an official recognised third-party audit bodies for our social scheme.

8.2.8 Proposal Requirements

The proposal submitted by interested Audit Bodies must include the following information:

- a. Company profile and credentials.
- b. Details of relevant experience in providing assurance services for social schemes.
- c. Accreditation certificates from recognized accreditation bodies.
- d. Proposed methodology for conducting audits and assuring compliance.
- e. Pricing structure and terms.
- f. Any additional information or recommendations pertinent to the tender process.

8.2.9 Timeline

The tender process will stipulate the following timeline:

- a. Release of Expression of Interest (EOI): [Date]
- b. Deadline for submission of EOI: [Date]
- c. RFP issuance to qualified Audit Body: [Date]
- d. Proposal submission deadline: [Date]
- e. Evaluation and shortlisting: [Date]
- f. Site visits and interviews: [Date]
- g. Contract negotiations: [Date]
- h. Contract award announcement: [Date]

8.2.10 Confidentiality and Ethics

All submitted information and documents IS treated with strict confidentiality. Audit Bodies are expected to adhere to the highest ethical standards throughout the tender process.

8.2.11 Evaluation of the proposal

The proposals are evaluated by a panel that consist of WIETA management, the WIETA assurance committee, as well as appointed independent experts. An initial desktop evaluation will be conducted.

Shortlisted audit companies will be invited to an interview.

WIETA reserves the right not to make any appointments.

8.2.12 Appointment of Auditing Firms

Approved audit firms will be appointed on a service level agreement. The service level agreement will be reviewed yearly and WIETA reserves the right not to extend the agreement. All audit companies will be subjected to an annual review.

8.3 Recognition of auditors under Auditing Firms

Auditors from approved audit firms are approved and reviewed on an ongoing basis based on performance and conduct. Only auditors approved, APSCA registered and registered on the WIETA online system will be eligible to undertake WIETA audits.

8.4 Intellectual property rights, conflict of interest and confidentiality

8.4.1 Conflict of interest

The appointed audit firms and auditors may not act in any way that is inconsistent with his/her duties or expose him/herself to any situation involving the risk of a conflict of interest between the official responsibilities required of the outsourced tender and with that of private interests.

8.4.2 Confidentiality

The evaluation panel will regard all information presented in, or in support of the application, as confidential and may not use or share any information for personal or third-party gain.

8.4.3 Representation

Although the successful service provider will be appointed by WIETA to conduct ethical audits against the WIETA Standard, the audit firm and/or auditor may not act on behalf of WIETA, claim to represent WIETA or commit WIETA to any future action or liability.

8.4.4 Appointment of Audit Bodies

Audit Bodies will be expected to signed service level agreements. These agreements can be amended from time to time as per the Scheme's internal assurance requirements.

9. Conducting audits

9.1 Rules and Procedures

All third-party audits must be conducted in accordance with the following rules and procedures as set out in detail in the WIETA APM V5 2025 WIETA Online registration : The auditee and the audit process from audit request to audit assurance must be logged on the WIETA Online platform at www.ethicaltrade.co.za

9.2 Monitoring and evaluation of Audit Bodies

Audit Bodies are monitored and evaluated regularly by WIETA to ensure that they adhere to high standards of quality assurance. The following steps must be taken:

9.2.1 Evaluation criteria

Clear criteria must be established for evaluating Audit Bodies, including their competence, impartiality, independence, and compliance.

9.2.2 Weekly monitoring reports

Weekly monitoring reports will be generated and send to Audit Bodies to review progress and quality of all audits undertaken. Where required, remedial action on key areas of concern will be communicated.

9.2.3 Monthly Quality Review meetings

Monthly meetings will be held with Audit Bodies to review progress, quality, performance and address key concerns around quality and calibration issues.

9.2.4 Performance Review

Based on a series of performance criteria, not limited to compliance with the Audit Process and Methodology requirements V5 2025, quality of performance, quality of audit reporting, done weekly, Samples of Audit reports will be taken from Audit Bodies based on risk indicators and mean comparative performance criteria. Feedback on individual auditor performance and Audit Body performance trends will be given to Audit Bodies to review, remediate and improve upon. Generic trends in performance are discussed at quarterly calibration meetings.

9.3 Chain of Custody checks

The Advisor – Assurance and Ethical Support is responsible for the review and reporting on performance. passed on to the Audit Body Audit Managers for discussion and actioning of remedial actions and developmental improvements for social compliance auditors. These performance

requirements are then discussed at the monthly meetings with Audit Managers and agreed outcomes are monitored.

Performance trends are reviewed at the Schemes monthly Programme meetings. Key trends and learning are discussed within the quarterly Calibration meetings and flagged for training initiatives, guidelines development and guidance documentation.

9.4 Audit Witness

From time-to-time WIETA will undertake audit witness of auditors to determine auditor competence, performance and calibration with the WIETA standard V5 (2025). Feedback reports will be provided to the Audit Bodies to review, remediate and improve upon.

9.5 Quarterly Calibration Meetings

These are held to determine and address calibration and performance requirements across the Audit Bodies with recommendations for improvements and best practice discussed.

9.6 Auditor Training sessions

WIETA will conduct Basic and Advanced Training sessions and discussion workshops relating to Standards developments, calibration and best practice.

9.7 Periodic assessments

Audit Bodies must undergo periodic assessments by WIETA to ensure that they meet relevant standards and requirements. These will take the form of office visits to ensure that the Audit Bodies has in place the required quality assurance policies, systems and processes in place to ensure quality performance against the WIETA requirements in line with local and international legislation, regulation and professional audit conduct.

9.8 Feedback mechanism

A feedback mechanism to allow WIETA members and stakeholders to provide feedback on the quality and reliability of social audits conducted by Audit Bodies is undertaken following audits, biannual satisfaction surveys and at stakeholder social dialogue sessions.

9.9 Improvement plan

Audit Bodies must develop an improvement plan to address any deficiencies identified through the monitoring and evaluation process and communicate this to WIETA.

9.10 Members and Stakeholder feedback

Customer satisfaction surveys are sent to WIETA members on a biannual basis to receive any feedback on Audit Bodies and auditor performance. Feedback is discussed with Audit Bodies and auditors at quarterly calibration sessions and auditor training workshops.

10. Shadow Procedure

10.1 Purpose

To define the procedure by which Shadow Audits will be conducted as part of the Audit Assurance Management System and auditor training, development and calibration programme.

10.2 Scope

This procedure applies to all shadow audits undertaken as part of the WIETA Audit Assurance requirements and Auditor training & calibration program.

10.3 Responsibilities

The appointed person / Advisor : Audit Assurance within WIETA is responsible for ensuring that this procedure is maintained; reviewed & updated as part of WIETA's Audit Assurance Management System review.

The recognized Shadow Auditor is responsible for ensuring that this procedure is correctly applied; that all relevant records & supporting documentation are completed and returned to the WIETA Office & that he/she participates in the review process.

The WIETA CEO is responsible for ensuring that this procedure is authorized and integrated into the WIETA Audit Assurance Management System; that appropriate controls are established to managed its' effective use & that sufficient resource is allocated to enable this process to be applied.

The recognized Lead Auditor / Associate Auditor is responsible for providing any and all information to WIETA & the appointed Shadow Auditor timeously & in the agreed format to enable proper planning and execution of this process.

The Approved Audit Body is responsible for ensuring that access is provided to any and all information necessary to facilitate the shadow audit process; that the nominated Lead / Associate Auditor are made available & that they have signed an agreement with WIETA to engage & participate in this process & that they are committed to ensuring that auditor quality; competence & consistency is of the highest standard possible. Furthermore they agree to implement & follow any findings made &/or recommendations for improvement.

10.4 Procedure

10.4.1 Schedule

WIETA will develop an annual schedule for shadow audits. This schedule should consider the following:

- ✓ Risk indicators identified

- ✓ Experience of Auditor to be shadowed – auditors with less experience should be prioritized.
- ✓ Trends in Auditor performance
- ✓ Trends in Auditee performance
- ✓ Previous Shadow Audit reports – where there have been findings made or recommendations for improvement, these should be used to assist with planning & allocation.
- ✓ Budget allocation – the ideal would be to observe every auditor annually however, given resource limitations this may not be possible. In this event, each auditor should be scheduled to be observed at least once in a 3 year cycle. N.B. This is in addition to & not instead of existing auditor quality controls applied by each Approved Audit Body.

10.4.2 Allocation

Once the audits have been scheduled, each audit should be allocated to an Approved / Recognized Shadow Auditor. This should be done as far in advance as possible but no later than 10 working days before the scheduled audit date.

10.4.3 Communication

The appointed person / Advisor : Audit Assurance from WIETA will send through a notification to the auditor / approved audit body informing them of the need to conduct a Shadow Audit. Alternatively, the Approved Audit Body may also commission a Shadow Audit through the WIETA Office.

The Approved Audit body must complete and return the Shadow Audit Appointment form at least 5 working days before the confirmed audit date. Any deviations must be agreed in writing.

10.4.4 Shadow Audit Process

10.4.4.1 Site Profile

The Approved Audit body must provide all information necessary in order for the Shadow Auditor to adequately prepare for the audit. The Shadow Auditor shall complete the Site Profile & Audit Planner to be submitted together with the final shadow audit report.

10.4.4.2 Site Assessment

The Shadow auditor shall complete the Shadow Audit Site Assessment checklist & submit together with the final shadow audit report no later than 5 working days after the completion of the shadow audit.

The Shadow Auditor shall be required to evaluate & provide feedback on at least the following aspects of the audit process:

- The opening Meeting
- The Site Tour (N.B. Not Applicable where the person being shadowed is NOT an OHS auditor)
- Documentation Review
- Worker Interviews
- Management Interviews
- Process of establishing findings
- Closing Meeting
- CAP Report

10.4.5 Final Report

The Shadow Auditor shall be required to complete and return a final report. The Shadow Auditor shall provide specific feedback and commentary as well as make recommendations for improvement around the following:

- Approach & Methodology
- Pre-Audit Preparation
- The Site Audit – this data should come directly from the shadow audit checklist
- Specific Auditor Feedback – the Shadow Auditor must use the rating scale provided to evaluate the following:
 - o Core Competence
 - o Audit Principles; Procedures & Techniques
 - o Management Systems & Use of Reference Documents
 - o Methodology and triangulation
 - o Interpretation of the WIETA standard
 - o Root Cause Analysis
 - o Communication Skills
 - o Knowledge; Understanding & Ability to apply this with regards to Applicable Laws; Regulations & other applicable requirements.

10.5 Feedback

The Appointed person / Advisor : Audit Assurance will complete the Shadow Audit Feedback form & forward this to the Approved Audit Body. If there are any findings raised, the Approved Audit Body will be required to complete and return a Corrective Action plan with 5 working days of receipt of the Shadow Audit feedback report. This should include details of:

- The actions to be taken

- The date by which these will be completed
- The evidence that will be provided to demonstrate completion
- The person responsible for submitting the evidence.

11. Audit report review process

11.1 Purpose

The purpose of the Audit Report Review Process is to enhance the consistency, integrity, and credibility of social audits conducted under the WIETA standard through structured quality assurance, auditor oversight, and continuous improvement.

11.2 Scope

The Audit Report Review process applies to all approved audit firms, individual auditors, their reviewers and audit and scheme managers involved in social audit execution and reporting against the WIETA Standard and Audit and Process Methodology.

11.3 Auditor Competency Requirements

These requirements are set out in detail in the WIETA APM Annexure 2.

All WIETA auditors must:

- Be registered with the Association for Professional Social Compliance Auditors (APSCA) as Certified Social Auditors with a valid APSCA number
- Complete WIETA-specific auditor training modules annually
- Demonstrate knowledge of the WIETA standard, sectoral risks, and legal framework
- Undergo periodic shadow audits which serve as field evaluations by WIETA reviewers

WIETA to maintain an auditor database with performance flags.

11.4 Audit Report Quality Review

WIETA will conduct periodic quality reviews on submitted audit reports:

- Use of correct templates and formats
- Quality and clarity of non-compliance findings
- Evidence of proper worker interviews and management engagement
- Appropriateness of corrective actions and timelines

The methodology for review taken is based on the following risk-based approach:

- ❖ High-risk (e.g. multiple major NCs, sensitive regions) = 100% reviewed
- ❖ Medium-risk = 50% sampled
- ❖ Low-risk = 10% spot checks

The following approach should be used when selecting audit reports for review :

11.4.1 High Risk Reports

This selection is based on the following:

- Previous audit findings disputed
- Regional or geographic risk impacts identified over the last year
- Violations reported against the auditee
- Previous criticals or majors give in industry risk areas
- Auditor's conduct11.ed appealed

11.4.2 Medium Risk

Periodic sampling

11.4.3 Low Risk

Random spot-checks.

11.5 Management Systems Evaluation

WIETA Management will ensure that that auditees have robust systems in place. WIETA emphasizes evaluating the effectiveness, efficiency, and impact of management systems on ethical trade performance.

The identification of risk areas, required continuous improvement and best practices can be followed up with follow up visits, trigger unannounced audits or evoke invitations to join training and ethical development sessions.

11.6 Sampling & Report Audit Quality Checks

11.6.1 Sampling

A manual review via a representative sample of audit reports uploaded onto the WIETA platform for are perused for structure, content consistency, interpretation of the Standard and APM and calibration.

11.6.2 Structural Completeness

Reports are examined for required components: opening meetings, document review, site tour, worker/management interviews, descriptions, findings, findings classification, Corrective actions and timeframes

11.7 Scoring, Classification & Feedback

11.7.1 Classification of Findings

Clear differentiation is undertaken between levels of non-compliance (e.g., observations, minor, major, critical) per WIETA Audit Process and Methodology Guidelines.

11.8 Corrective Action Plans (CAPs) & Follow-Up

11.8.1 Quality of CAPs

Verify CAPs are actionable with clear root-cause analysis, responsible parties, timelines; reflective of WIETA's APM approach.

11.9 Monitoring Implementation

Conduct follow-up visits to confirm effective implementation.

11.10 Continuous Improvement & Oversight

11.10.1 Training & Capacity Building

Provide auditors and firms with access to e-learning, risk tools, and technical training updates.

11.10.2 Feedback Loop

Share review outcomes with audit firms in quarterly calibration meetings to drive improvement—both in audit execution and report quality.

Repeated quality failures may lead to:

- additional training or
- temporary suspension with training required
- deregistration of the audit firm on the WIETA online platform

12. Public Transparency & Dialogue

WIETA's multi-stakeholder governance and open feedback mechanisms (WIETA Labour Desk and WIETA Standard public consultation) bolster credibility.

WIETA engages buyers, suppliers, and audit firms through:

- Social Dialogue Forums and working groups
- Reporting tools and dashboards on the WIETA website at www.wieta.org.za
- Updates to the WIETA Online platform at www.ethicaltrade.co.za

13. Appeals Process

13.1 Appeals and Complaints Resolution Process

This Appeals and Complaints Resolution Process (“Process”) is designed to provide a fair and impartial mechanism for resolving appeals and complaints related to audits undertaken by third party audit firms assessing the WIETA standard Version 5 (2025).

13.2 Definitions

- Appellant/Complainant: A person or entity that is appealing a decision or making a complaint to WIETA - Respondent: WIETA or any member of WIETA that is the subject of the appeal or complaint.
- Independent Reviewer: A third-party individual or organization that is appointed to review an appeal or complaint and make recommendations for resolution.
- Decision Maker: The person or committee authorized by WIETA to make decisions on the appeal or complaint.

13.3 Scope

This Process applies to all appeals and complaints related audits conducted by third party audit firms against the WIETA Standard V5 (2025), including but not limited to:

- ❖ Substantive decisions made by WIETA or its third-party auditors, such as audit assurance or revocation of assurance, that affect the appellant or complainant.
- ❖ Procedural issues related to WIETA’s internal processes or conduct of its third-party auditors that impact the appellant or complainant.

13.4 Collaborative Resolution

WIETA encourages appellants and complainants to first attempt to resolve the matter collaboratively with the Third Party Audit Body before filing a formal appeal or complaint. In some cases, this informal resolution may be sufficient to address the matter.

All WIETA recognised Third Party Audit Bodies have their own internal complaints and appeals process.

However, if the matter cannot be resolved through informal means or the respondent is unable or unwilling to participate, the appellant/complainant may initiate the formal appeals or complaints process outlined below directly to WIETA.

13.5. Formal Appeals Process



WIETA is committed to handling appeals and complaints in a fair and impartial manner, consistent with best practices and human rights principles. This Process provides a mechanism for resolving appeals and complaints in a collaborative, timely, and effective manner, while safeguarding the rights of all parties involved

Step 1: Follow the Audit Body Internal Appeals Process

The appellant must complete the Audit Body's internal appeals process first. Failure to resolve the issue can then be escalated to WIETA.

Step 2: Filing a Notice of Appeal

To initiate the appeals process, the appellant must file a written Notice of Appeal with WIETA within 21 days of the date of the decision or action being appealed. The Notice of Appeal must include a detailed explanation of the grounds for appeal, evidence supporting the grounds of appeal, and the remedy sought.

Step 3: Response and Evidence

WIETA will provide the Respondent with a copy of the Notice of Appeal and request a written response within 21 days. The Respondent may present evidence in support of their position.

Step 4: Independent Review and Recommendation

WIETA will appoint an Independent Review Panel, which may comprise members of the WIETA Assurance Committee, to review the appeal and make recommendations for resolution. The Independent Reviewer may request additional information or documentation from the appellant, respondent, or any other relevant parties.

Step 5: Outcome of Appeal

Based on the Independent Review Panel's recommendations, WIETA will provide a written decision that either upholds, modifies, or reverses the original decision. WIETA's decision is final.

13.6. Formal Complaints Process on Violations

WIETA follows the Human Rights Due Diligence Process in seeking remediation for any incidences found in violations of the WIETA Standard V5 (2025). Refer to the ***WIETA Grievance and Standards Violations Process***.

14. Auditor Competency Requirements

Auditor Competency Requirements and Criteria for appointment and recognition by the WIETA Scheme are set out in *the WIETA APM V5 2025 Annexure B Auditor and Reviewer Competency Requirements*.

The professional competence, delivery, quality, efficiency and effectivity of the audits and everyone involved in being responsible for executing the audit process is a crucial component of maintaining the WIETA Standard. WIETA recognises as the basis for the Scheme's recognition of social auditors, the competency framework as set by the Association for Professional Social Compliance Auditors (APSCA) for the recognition of and development towards a Certified Social Compliance Auditor status.

15. Process for Approval, Suspension, or Withdrawal of Audit Services from Audit Firms by WIETA

15.1 Introduction

This process outlines the procedures for approving, suspending, or withdrawing audit services by audit firms for the scope of a social audit scheme. The purpose of this process is to ensure that audit services are provided by competent and qualified audit firms and that adequate measures are in place for managing any situations that may arise.

15.2 Definitions

- APSCA : The Association for Professional Social Compliance Auditors
- Audit Firm: A professional services firm that provides audit services.
- WIETA Social Audit Scheme: The Ethical programme designed to assess the social and ethical impact of WIETA members ethical performance within their operations and supply chains.
- Audit Scope: The specific areas and processes of an organization that are subject to a WIETA audit.
- Approval: The process of reviewing and determining if an audit firm meets the established criteria for providing audit services by WIETA.
- Suspension: The temporary cessation of audit services by an audit firm, either for a set period or until specific conditions are met.
- Withdrawal: The permanent cessation of audit services by an audit firm.

15.3. Approval of Audit Firms for the Social Audit Scheme

Step 1: Criteria for Approval

WIETA has established the criteria for approving audit firms for providing audit services. This includes factors such as the audit firm's experience, qualifications, operational scope, reputation, auditor logs and competencies, registration with APSCA and compliance with legal, ethical and professional standards.

Step 2: Application Process

Audit firms interested in providing audit services for WIETA must submit an application that includes an explanation of their qualifications, operational scope, and experience as it relates to the a social audit scope. WIETA may request additional information or documentation as needed to evaluate the application.

- Step 3: Approval Decision

Depending on the demand for additional audit services, WIETA will evaluate the application and determine if the audit firm meets the established criteria for providing audit services. If approved, the audit firm is added to the approved list of audit firms for WIETA.

15.4. Suspension of Audit Firms from WIETA

The approval, suspension, or withdrawal of audit services by audit firms from WIETA is conducted in a fair, impartial, and transparent manner, consistent with established ethical and professional standards. This process provides a mechanism for managing any situations that may arise and ensuring that audit services are provided by competent and qualified audit firms.

Step 1: Circumstances for Suspension

WIETA has established the circumstances that may lead to the suspension of an audit firm, such as failure of the firm or its auditors to comply with ethical standards, failure to comply with the established audit scope, failure to comply with the WIETA Standard V5 (2025) and the Audit Process and Methodology, or a conflict of interest.

Step 2: Investigation and Notification

Where WIETA determines that there are sufficient grounds for suspension, an investigation is conducted to gather additional information. The audit firm is notified of the investigation and provided with an opportunity to respond to the allegations.

Step 3: Decision and Action

Based on the investigation, WIETA will make a decision to suspend the audit firm's services, either for a set period or until specific conditions are met. WIETA will communicate the decision and the reasons for the suspension to the audit firm in writing.

15.5. Withdrawal of Audit Firms from WIETA

Step 1: Circumstances for Withdrawal

WIETA has established the circumstances that may lead to the withdrawal of an audit firm, such as a failure to meet the established criteria for providing audit services or repeated occurrences of non-compliance with the audit scope, process and methodology.

Step 2: Investigation and Notification

Where WIETA determines that there are sufficient grounds for withdrawal, an investigation is conducted to gather additional information. The audit firm is notified of the investigation and provided with an opportunity to respond to the allegations.

Step 3: Decision and Action

Based on the investigation, WIETA can make a decision to permanently withdraw the audit firm's services. The social audit scheme communicates the decision and the reasons for the withdrawal to the audit firm in writing.

16. Client Remediation

This process can also be perused, in depth, under Annexure I: Grievance and Standards Violations, under the WIETA Audit Process Methodology V5 2025.

16.1 Process for Invoking the Incidents Protocol

Complaints concerning labour, interest or rights-based disputes in contravention of the WIETA Standard can be referred in writing to the Standards and Assurance section within WIETA.

Complaints and grievances received telephonically or via WhatsApp from workers need to be lodged by the WIETA office in a prescribed format and record kept.

Complaints can also be lodged in terms of any possible Standards Violation from social, print or broadcast media reports, for further investigation.

As much information as it is reasonably possible about the transgression needs to be gathered to evoke the Incidents Protocol. In this regard an Incidents Investigation Questionnaire would need to be completed. Attached as Annexure A.

The general principle is that as much detail as possible about the allegation should be supplied. However, in some circumstances there may be a risk of victimisation of the employees concerned. If so, this should be stated by the Complainant communicating the allegation and the names of the individuals concerned may be withheld.

Where the allegation concerns alleged Standards breaches affecting large numbers of employees (e.g. to do with pay rates, overtime, health, and safety) there is no requirement to divulge the names of individual workers. However, the supporting information supplied should still be sufficient to identify the time, place, and circumstances of the alleged violation(s).

If the allegation relates to employees being wrongfully dismissed, the names of the employees should be supplied, and relevant documentation supplied.

Within ten (10) working days of the complaint received, WIETA will assign an investigator to conduct a preliminary assessment of the nature of the alleged transgression / dispute. The purpose of the preliminary assessment is to find the facts and record these as reliably as possible. The investigator may also be required to conduct off-site interviews with employees of the alleged violator where this is necessary for the employees to freely express themselves.

If the allegation relates to behaviour that has already been the subject of other investigations or is *sub-judice*, the results of these investigations should be considered by the investigation carried out under these guidelines.

Should the alleged transgressing site refuse access to allow the assessment to take place, the Risk Matrix Policy provisions will come into effect.

When informing the site that an allegation has been made, WIETA should make it clear to the supplier that there is a “no victimisation” policy in relation to employees who may have made allegations of Standards Violation and that any victimisation will be regarded as a serious breach of the Standard.

16.2 Investigation Report

When the investigation has been completed, the investigator should write a report, which will be shared with the Standards and Assurance section/division for review.

The investigation report should state:

- Who carried out the investigation?
- When it was done.
- What methods were used (in sufficient detail to give the reader an understanding of the investigation process).
- What the coverage of the investigation was (i.e. what proportion of the employees and the work site were covered).
- Whether off-site worker interviews were conducted.
- The results of the consultation with the persons or organisation originating the allegation.
- What the findings of the investigation were, specific to each allegation.
- Recommendations to be made
- Recommendations on any referrals to external agencies
- Draft recommendation report to member site

In order to support the “no victimisation” policy, the names of individual non-managerial employees should not be disclosed in the investigation report.

17. Remediation

17.1 Remediating Labour Based Non-Compliances

Where the investigator's report confirms any or all the alleged Standards breaches, WIETA will negotiate a remediation plan with the member company. This plan should provide for prompt remediation of the violations, considering the nature of the violation and the type of remediation required.

The remediation plan must be shared with the relevant employees, the person or organisation originating the allegation and WIETA.

The remediation plan should contain:

- A description of each infringement and/or WIETA Standards breach being addressed.
- The nature of the remediation action.
- The timescale for the remediation action.

17.2 Meeting to Consider the Investigation Report and Remediation Plan

Within two weeks after the circulation of the investigation report, the parties concerned must meet to discuss the report and decide on the next steps.

If the parties concerned agree with the findings of the investigation report, and the report discloses Standards breaches, the next step is to reach agreement on the remediation plan.

The views of the company workforce and the organisation originating the allegation should be considered in assessing the accuracy of the investigation and the contents of the remediation plan.

If the person or organisation originating the allegation disagrees with the findings of the investigator's report, this disagreement should be communicated to WIETA who will refer the matter back to the Assurance Committee, along with any additional information necessary to explain the disagreement.

The panel should examine this information seriously and take the appropriate steps, which may include a further enquiry into the member company's operations, if necessary, to establish the facts. The parties should agree who undertakes this investigation, the terms of reference and the status of the report. The results of this further enquiry should also be reported back to all parties and reasons given for the findings.

17.3 Unresolved Disputes

Where the allegation cannot be resolved through a remedial plan of action in joint agreement by the aggrieved and transgressing parties, the nature of the dispute will be referred to the Assurance Committee for review.

The following will be considered:

- The nature of the dispute will be reviewed i.e. evictions, harassment, abuse cases, rights-based violations
- the degree of leverage WIETA must resolve the dispute.
- Possible referral mechanisms/agencies to be identified where the rights violations go beyond the scope of the WIETA Standard or where WIETA deems there to be a conflict of interest or where the transgressor refuses to take any responsibility for remedies and refuses intervention.
- Or whether to seek joint action with wine industry members.

17.4 Mediation as a Workplace Dispute Resolution and Remedial Tool

In the case where the dispute is of such a nature that mediation is deemed an appropriate remedial tool and appropriate and agreed mechanism for seeking to resolve both workplace or interest-based disputes, a mediator will be appointed by WIETA from an *approved mediator list after consultation and agreement with the parties concerned*.

Any documentation relevant to the dispute should be handed to the mediator as part of the investigation. Where the mediator can resolve the dispute during a fact-finding exercise this should be encouraged.

On a date mutually agreeable to all parties, the dispute will be mediated in line with agreed-to mediation protocol guidelines. The proceedings shall be “without prejudice” and shall not be referred to in any other proceedings for any purpose whatsoever.

The mediation process should be concluded as speedily as possible and at the most be completed within three months of the referral following the circulation of the preliminary assessment report to parties.

The procedure will be that of mediation, not arbitration or conciliation. No finding will be made against any party. The role of the mediator will be, with his/her knowledge of the wine industry and agricultural sector, to assist the parties in reaching an amicable resolution.

In the event of a resolution being reached, the outcome shall be put in writing and signed by both parties. The decision shall constitute a full and final settlement of the dispute. All parties to that mediation shall then withdraw any legal proceedings that may have been instituted because of the dispute. There will be no further recourse to any legal action by either party.

The proceedings and the outcome of the mediation shall, always, remain confidential.

Both parties to the dispute should receive a copy of the signed agreement and a further copy should be submitted to WIETA.

The mediator shall, after the completion of the mediation, whether it has been resolved or not, hand back all documentation collected from the respective parties and destroy all notes taken during the mediation process.

In the event of a matter not being resolved, the matter will proceed as if there had been no mediation. This outcome shall also be communicated to WIETA who will then refer the unresolved matter to the Assurance Committee for review in terms of the Grievance Reporting: Risk Matrix Policy, hereto attached as Annexure 1.

The outcome of any mediation process shall be regarded as private and confidential save where the parties agree to a public statement. Joint statements may be released by WIETA should that be the wish of the parties to the mediation. However, no individual person or company involved in the mediation may be identifiable in any such press release - unless they have given their express permission in writing thereto.

If, at any stage, both parties agree that the mediator should recommend the matter be taken to arbitration, then he/she may do so, and such arbitration shall be conducted in terms of the Arbitration Act. In such a case, the parties are bound to the arbitrator's decision, and the arbitration will be concluded in writing for the signature of both parties. Where the matter has been arbitrated, both parties reserve their rights in terms of section 145 of the Labour Relations Act.

17.5 Failure to Remedy

Where remedial action and /or dispute resolution is deemed appropriate by WIETA but where transgressing parties refuse to commit to remedy or refuse mediation and such a dispute and Standards violation remains un-remedied, WIETA retains the right to undertake the following action:

- Refer the dispute / violation to an appropriate agency i.e. Department of Employment and Labour or Western Cape Department of Agriculture, Human Rights Commission, CCMA Workplace Dispute Resolution Mechanism Unit etc.
- Refer the matter to the Wine industry Bodies and
- Refer the transgressing member internally for review in terms of the Risk Matrix Policy, hereto attached as Annexure 1, for Assurance and / or membership suspension.
- WIETA refers matter to the Assurance Committee to decide around suspension of assurance and membership.

17.6 Monitoring of remedies

WIETA will monitor the subscriber's company's compliance with the remediation plan and / or mediation outcome. When remediation is complete, the company will be requested to write to the Incidents Investigation Panel, via the WIETA CEO, describing the remediation actions that have been undertaken and stating that remediation is complete.

If the person or organisation originating the allegation disagrees with the statement that remediation is complete, this opinion should be communicated to the WIETA CEO, along with any additional information necessary to explain the disagreement. The Panel should discuss the differences between the two positions and try to reach an agreement on what course of action should be followed.

If the process takes longer than six months from the date the allegation was made, the WIETA office should provide an interim report at the six-month point stating what has been completed, what remains to be done and the timetable for completion. A copy of this report should go to the WIETA Board who will determine a course of action appropriate to the circumstances and aligned to the WIETA Risk Matrix Policies.

If remediation is still not complete after a further six months, the WIETA member company should provide a further interim report stating what has been completed, what remains to be done and the timetable for completion. This report should be referred to the WIETA Board, which should determine a course of action appropriate to the circumstances.

Where a Standard's breach is remedied, the issue should be kept under review by the company in its audit process.

17.7 Time frames for Incidents Reporting, Investigation and Remediation

The following timeframes are recommended:

- Preliminary assessment undertaken within 10 days of complaint received
- Preliminary Assessment Report circulated to aggrieved and transgressing parties within one week of completion of preliminary assessment
- Remediation plan agreed to within one month of receiving report
- Remedies put in place required within 3 months of receiving report
- Report to WIETA on impact of remedies within 3 months of report
- Where recommended, referral to mediation within two weeks of Preliminary Assessment Report
- Mediation completed within 3 months of referral

If agreement cannot be reached, the issue may be referred to the WIETA Board for an opinion.

The decision of the Board will be final and binding on the parties.

17.8 Disagreements over the Interpretation or Implementation of these Guidelines

In the event of a disagreement over the interpretation of these guidelines or the appropriate response to an alleged Standard's Violation, the parties should first try to resolve the disagreement in direct discussion with each other, in the spirit of mutual trust and co-operation described in the preamble.

17.9 Costs of Investigation and Remediation

The costs of the investigation, where there is a violation at the member site and any necessary remediation is undertaken, should be met by the WIETA member company.

Where mediation is recommended as a tool for remedy, WIETA will endeavour to seek to cover part costs for this mechanism through fundraising initiatives in association with local and international partners.

Where there is no violation, WIETA will absorb the costs.

18. Standard and Assurance Capacity Building and Development

WIETA endeavours to provide its members and stakeholders with the necessary knowledge information and expertise to set them up for a successful journey in pursuing true ethical and social sustainability. As such, there are various resources and opportunities for capacity building.

- WIETA delivers Standards and Compliance Training and Development in the following ways:
 - Producer Training
 - Online training opportunities are made available where Producers are taken through the WIETA Standard, as well as the Auditing Process Methodology.
 - These opportunities are usually great for networking, as well as discussion around Standard and APM Issues and Implementation
 - Learn with Wieta
 - Roadshows
 - Worker Training
 - WIETA offers face-to-face training for farm and cellar workers where various components of the Standard are trained on: Occupational Health and Safety, along with Labour Training (covering various topics like leave, working hours, Basic Conditions of Employment etc.)
 - Publication and dissemination of appropriately designed and illustrated materials to support a better understanding of worker rights and responsibilities within the workplace.
 - Auditor Training
 - Virtual and physical auditor training opportunities are held at least twice a year. Themes within this training varies depending on the training needed, but usually covers large portions of the WIETA Standard, Auditing Process Methodology and Online Platform
 - Consultant Training
 - As more and more members start utilising the services of Consultants to assist them with the training and implementation of the WIETA Standard, WIETA through it applicable to insure that whatever information consultants are communicating on behalf of the Standard, are in line with the WIETA policies and procedures. As such, there are virtual training opportunities also available, specific to consultants, in addressing certain needs or issues. This training again ranges from Standards and APM implementation to the practical use of the Ethical Trade Online platform.
- Webinars
 - WIETA offers a series of Webinars covering various thought provoking topics aimed at collaboration and promote open discussion. These Webinars are open to the public and create great information sharing channels which would have been underutilised.

- Social Dialogue Engagement
 - Opportunities to create dialogue with multi-stakeholders around a range of Standards related ethical trade issues with the view of developing consensus-based solutions to better practices.
- Better Practice Guidelines
 - Are developed to capture best practices and create improved knowledge systems for best practice implementation for the workplace.
- Social Media
 - Various platforms used to promote WIETA activities, creating engaging advocacy opportunities, create awareness and publishing best practices.