



The Sustainability Initiative of South Africa

Audit Monitoring Policy



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Introduction

Over the past two decades the need for more sustainable trade has become a global priority. Understanding the background and need led to multiple stakeholders implementing more progressive programmes to ensure compliance amongst all role-players.

This document will detail the Audit Monitoring Policy for the SIZA programme. SIZA evaluates and monitors the current Ethical audits that take place in its capacity through monthly internal reviews. The need for a more comprehensive detailed shadow/monitoring policy has been identified. This document will serve as a policy for all future monitoring amongst SIZA approved Audit Entities.

SIZA strives to ensure continuous improvement amongst agri-businesses, allowing for economic growth and social responsibility throughout the supply-chain. This goal is achieved by ensuring reliability, ethicality and consistency amongst the SIZA approved third-party audit entities.

Monitoring Management

Purpose

The purpose of this Monitoring Policy is to describe the rationale and process for the collection, recording and verification of audit data. It is also a review and monitoring process to ensure that recognized third party audit entities meet all requirements and that they have maintained the level of compliance which was initially approved. This programme ensures quality and compliance throughout the audit processes.

Objectives

The objective of the monitoring and evaluation programme is to provide assurance to SIZA, but it will also assist auditors to:

- Understand participatory monitoring methodology
- Apply the principles and processes of the methodology
- Understand applicable national legislation
- Understand the SIZA Audit Process and Methodology requirements, the SIZA code and guidelines of good practices and APSCA requirements



- Report accurately on auditing processes and findings
- Understand the steps that producers are required to take in meeting the objectives of the code
- Understand best practice recommendations and principles for the sector
- To ensure the calibration and consistency as well as the validity, accuracy and integrity of audit data.

Auditor Competency

It will remain the responsibility of all SIZA approved auditors and reviewers to adhere to the Competency requirements as set out by SIZA. If additional training/experience is required, the auditor/reviewer will voice this need to the Audit Entity and/or SIZA to allow for such training/experience to be provided.

Monitoring and Evaluation of Audit Entities

All SIZA-approved Audit Entities will be subject to a monitoring and evaluation policy. It will be the responsibility of each entity to ensure that they adhere to and follow the SIZA requirements as set out in the APM V.4 2018. SIZA will require each recognized Audit Entity to supply proof of their internal competency and training programmes on an annual basis to ensure that all requirements are met.

Section

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Source Data

Sourcing & Reporting of Audit Data

Audit Data will be gathered and compiled by the Audit Entity throughout the year. Each entity will gather the data based on their own internal processes and procedures.

The data will be reported to SIZA on an annual basis. All the data must be made available to SIZA before the end of January each year. Please use the format provided in this document under Section 4.



Quality Assurance & Control

Auditor/ Reviewer Competency:

- The following information will be requested from auditors:
 - Level of education and qualification (SIZA training / Online Platform training (systems training))
 - Auditor experience
 - The number of SIZA audits conducted
 - Auditor level (Lead/ associate etc.) for each audit
 - Shadow Reports as indicated in the SIZA Auditor Competency Requirements

Audit Entity Monitoring and Evaluation:

- The audit entity will be required to provide the following information:
 - Scheduling of audits
 - Audit execution
 - Audit outputs
 - Details of any audit disputes raised on SIZA platform
 - Total number of SIZA audits conducted by entity
 - Proof of internal auditor and reviewer training
 - Proof of Internal shadows for auditors
 - Price consistency in line with SIZA APM requirements
 - Proof that a minimum of 12 Social Audits per annum were conducted

Audit Feedback Form:

- The feedback form will be sent to suppliers who have completed a SIZA audit. The feedback will allow SIZA to better understand how the supplier experienced the overall auditing process. The aim is to improve SIZA processes and to ensure that audits are effective but not threatening.



Standardized Information Sheets

Auditor Competency Sheet:

This document will be made available to all audit entities by SIZA.

Audit Process Monitoring Sheet:

This document will be made available to all audit entities by SIZA.

Audit Feedback Form:

Please note that suppliers complete this section.

English:

https://docs.google.com/forms/d/1eAQoPhbO2ogNzOXw7YlzLxN4hWGJ-XBvCYq4DEdiUcE/edit?no_redirect=true

Afrikaans:

<https://docs.google.com/forms/d/1R1K6INSedCTdx6ptSsVCPGIXad26o2Hvq5IJRVvnY70/edit>

Section

5

Conclusion

The audit process should always reflect the internal principles of the audit entity and represent SIZA's standards. Based on the feedback, SIZA will constructively converse with each audit entity, allowing for improvement for all parties and ensuring that SIZA social audits generate more credibility. The ideal is to ensure consistency and quality throughout the audit process.

