



Annexure 3

Environmental Auditor/Reviewer Competency Guidelines

November 2019

1. INTRODUCTION

SIZA is committed to establishing processes to ensure that the SIZA code monitoring and measurement can be carried out in a manner that is consistent with the SIZA Environmental Standard.

2. PURPOSE

To define the requirements and describe the process for becoming an environmental auditor, as well as to provide a framework for continuous professional development. In order for environmental auditors to be considered competent to audit under the SIZA scheme, the following requirements will need to be considered:

- ✓ Level of education and qualification
- ✓ Relevant work experience
- ✓ Training and practical auditor experience

3. THE SCOPE

This matrix shall be applied to all auditors operating on behalf of SIZA – trainee, associate, and lead auditors, as well as audit reviewers.

4. AUDITOR REQUIREMENTS

4.1 Prerequisites to Become a Level 1 – Trainee Environmental Auditor

4.1.1 Education

- The individual will have successfully completed a four-year tertiary qualification (BSc science, general science, or agricultural sciences degree) preferably with a specialisation in environmental sciences or environmental management.
- To operate at this level, the incumbent should have good reading, writing and verbal proficiency in English and Afrikaans.
- Should the candidate demonstrate equivalent experience other than stated above, submissions along with the individual's CV will need to be made to SIZA for approval by the scheme.

4.1.2 Work experience

- The individual will have knowledge and working life experience relevant to the business and workplace being audited. A minimum of five years post-tertiary experience with at least three years in the agricultural sector.
- Should the candidate demonstrate equivalent experience other than stated above, submissions along with the individual's CV will need to be made to SIZA for approval by the scheme.

4.1.3 Audit experience

- The individual will initially have completed a minimum of two training auditor days (observer) under the direction and guidance of a competent Lead Auditor before attending an auditor training course.
- The training towards becoming an Associate Auditor will then involve five days as shadow audits (at least two of which are undertaken before a basic training course is done as an observer) followed by three audit days as a Trainee Auditor under supervision and guidance of a Lead Auditor to be recognised as an Associate Auditor.

4.1.4 Training requirements

Trainee auditors will be required to complete an auditor training course following the first two shadow audits.

This course requires coverage of the following:

- Audit principles, procedures, and techniques
- Management systems and reference documents
- Organisational situations
- Situational awareness
- Introduction to applicable environmental legislation and regulations
- Audit planning, approach, and methodology
- South African based environmental codes and standards such as SIZA
- Detection, evidence gathering, and triangulation
- Capturing of findings

An independent training assessment will need to be undertaken by the auditor to be moderated by a SIZA approved moderator and assessor.

4.2 **Prerequisites to Become a Level 2 – Associate Environmental Auditor**

4.2.1 Education

- The individual will have successfully completed a four-year tertiary qualification (BSc science, general science, or agricultural sciences degree) with a specialisation in either environmental science or environmental management.
- To operate at this level, the incumbent should have good reading, writing, and verbal proficiency in English and Afrikaans.
- Should the candidate demonstrate equivalent experience other than stated above, submissions along with the individual's CV will need to be made to SIZA for approval by the scheme.

4.2.2 Work experience

- The individual will have knowledge and working life experience relevant to the business and workplace being audited. A minimum of five years post-tertiary experience with at least three years in the agricultural sector.
- Should the candidate demonstrate equivalent experience other than stated above, submissions along with the individual's CV will need to be made to SIZA for approval by the scheme.

4.2.3 Audit experience

The individual will initially have completed a minimum of 20 auditor days of onsite audits under the direction and guidance of a competent Lead Auditor. Of these 20 auditor days, five days should be shadow audits as a trainee auditor under the guidance of a lead auditor.

4.2.4 Training requirements

Associate auditors will be required to complete a recognised auditor training course as a trainee auditor.

The basic introductory course requires coverage of the following:

- Audit principles, procedures, and techniques
- Management systems and reference documents
- Organisational situations
- Situational awareness
- Introduction to applicable environmental legislation and regulations
- Audit planning, approach, and methodology
- South African based environmental codes and standards such as SIZA
- Detection, evidence gathering, and triangulation
- Capturing of findings

An independent training assessment will need to be undertaken by the auditor to be moderated by a SIZA approved moderator and assessor. In addition, the auditor will need to attend training on the SIZA Environmental Standard, and Audit Process and Methodology.

4.3 Prerequisites to Become a Level 3 – Lead Environmental Auditor

4.3.1 Education

- The individual will have successfully completed a four-year tertiary qualification (BSc science, general science, or agricultural sciences degree) with a specialisation in either environmental science or environmental management.
- To operate at this level, the incumbent should have a good reading, writing and verbal proficiency in both English and Afrikaans.
- Should the candidate demonstrate equivalent experience other than stated above, submissions along with the individual's CV will need to be made to SIZA for approval by the scheme.

4.3.2 Work experience

The individual will have knowledge and working life experience relevant to the business and workplace being audited. A minimum of five years post-tertiary experience with at least three years in the agricultural sector.

4.3.3 Audit experience

- The individual will initially have completed a minimum of 25 auditor days of onsite audits under the direction and guidance of a competent Lead Auditor. Of these 25 auditor days, five audit days is as a trainee auditor and 20 days as an associate auditor.
- Furthermore, of the 25 auditor days, the individual will have undertaken at least two satisfactory audits formally assessed by a competent lead auditor as part of their evaluation. Ideally, the assessment should be undertaken by two different lead auditors. Where this is not possible, it should be noted in the report to SIZA as to why this is not the case.
- The auditor assessment should be documented in an assessment report which will be made available to the SIZA audit oversight for a recommendation to SIZA management along with an audit log, training plan and CV of the auditor. Once the reports have been approved by SIZA, SIZA management will allow access to the *MySIZA* platform.

The assessment report should contain, but not be limited to, the following areas of evaluation:

- Preparation and planning for audits
- Display of personal attributes
- Ability to read and understand people

- Demonstration of knowledge of legal frameworks
- Demonstration of knowledge of the SIZA Environmental Standard
- Practical application of the laws and standard
- Knowledge of management systems
- Knowledge of technical and operational systems
- Understanding and demonstration of competence with audit process and methodology
- Interviewing techniques
- Ability to verify and triangulate information
- Interpersonal communication skills
- Report writing skills

4.3.4 Training requirements

The lead auditor is required to complete an Auditor Training Course approved by SIZA.

This course should meet the following requirements:

- SIZA online training
- Demonstration of the SIZA code
- Demonstration of knowledge of legal frameworks such as Advanced Environmental Law
- Application of laws and the standard
- Effective leadership
- Managing and resolving conflict during audit
- Knowledge of management and operational systems
- Competence in audit process & methodology
- Advanced detection
- Ability to verify and triangulate
- Ability to uncover root cause
- Communication skills
- Report writing skills

An independent training assessment will need to be undertaken by the auditor to be moderated by a SIZA approved moderator and assessor. SIZA will make available a panel of approved moderators and training courses.

4.4 **Requirements for Reviewers**

4.4.1 The role of the reviewer

- The role of the reviewer is to make an objective evaluation of the audit reports, corrective action plans and verification details, identified risks, and non-compliance judgements made against the prescribed standard.
- The reviewer should consider code compliance matter, legal and regulatory frameworks, and appropriateness of the report.
- The reviewer will also consider quality against the professional standards.
- To maintain the objectivity of the reviewer, the reviewer will also remain impartial to the site whose report is being moderated.

4.4.2 Role in moderation of an audit report

- Moderation is concerned with the consistency, comparability, and fairness of the application of the environmental code and audit standards across all audit reports.
- An auditor is not allowed to act as a reviewer on an audit they conducted themselves. Audit reports are also to be compiled by the lead auditor in their capacity as lead auditor, and not by the reviewer.

- Where concerns around the audit credibility or integrity of data come to the attention of the reviewer, the reviewer will engage with the auditor to have the auditor rectify the report.

4.4.3 Education

- The individual will have successfully completed a four-year tertiary qualification (BSc degree) and preferably a postgraduate degree (MSc degree) with a specialisation in environmental science or environmental management.
- To operate at this level, the incumbent should have a good reading writing and verbal proficiency in English.
- Should the candidate demonstrate equivalent experience other than stated above, submissions along with the individual's CV will need to be made to SIZA for approval by the scheme.

4.4.4 Work experience

The individual will have knowledge and working life experience relevant to the business and workplace being audited. A minimum of five years post-tertiary experience with at least three years in the agricultural sector.

4.4.5 Audit Experience

The reviewer should be a qualified lead auditor.

5. **SIZA REQUIREMENTS FOR AUDITOR REGISTRATION AND RECOGNITION**

5.1 **Auditor Registration**

- All auditors will need to be registered with SIZA. They will need to submit a valid Auditor Request for Registration form to SIZA management before being accepted onto *MySIZA*. The aim of the profile is to capture details of how the auditor has been assessed against the requirements and criteria for recognition as auditor under the SIZA scheme.
- For combined audits the auditor needs to be approved as an auditor by both programmes (SIZA and GLOBALG.A.P) in accordance with the competency requirements set out.
- All auditors will have a unique username to register on *MySIZA*.
- This profile will be reviewed annually.

5.2 **SIZA Recognition of Auditor Training Courses**

SIZA may from time to time facilitate the provision of Basic and Advanced Auditor Training Courses as well as a *MySIZA* platform course.

Audit firms may also submit in-house and formal accredited Auditor Training Courses for pre-approval. These can be registered with SIZA and will be reviewed from time to time.

SIZA may also request that auditors participate in or re-do certain auditor courses as determined by the requirements of the scheme.

5.3 **Training Course Assessment**

All auditors will be required to undertake an Auditor Training assessment. This assessment will be independently moderated and will need to be undertaken with the adjudication of an impartial adjudicator. SIZA will provide a list of recognised independent trainers and moderators. These assessments may be done online or at an appropriate venue as arranged with SIZA.

5.4 Auditor Personality and Behavioural Profile

The required auditor personality and behavioural profile will be developed and prescribed by SIZA.

5.5 Maintaining Auditor Registration

It is the responsibility of the audit firms auditing under the SIZA scheme to maintain the profiles of their auditors and to ensure that auditors receive ongoing training and development.

Where auditors do not fulfil the requirements as a result of extended periods away from auditing i.e. maternity leave, study leave, or alternative work obligations, or resignation or transfer to other audit firms, registration could be removed or suspended.

5.6 ISO Accreditation

All auditors and audit firms should be ISO/IEC 17065 accredited and approved by GLOBALG.A.P. SIZA will not accept any audit conducted by an audit firm or auditor that is not accredited and/or registered with these regulatory entities. It may further be required that the auditor must be registered with an appropriate regulating body. This will be communicated accordingly to the audit firm and auditor.

By joining the SIZA programme, the auditor and audit firm might be subject to further requirements if and when SIZA deems it necessary. In cases where SIZA deems it necessary to require further registration/training with external programmes, SIZA will allow a phasing period prior to implementation.

5.7 Minimum Number of Audits in a Year

Each auditor shall undertake a minimum of five audits per year against the SIZA Environmental Standard or three audit reviews in the capacity as reviewer within a 12 month period. Any auditor who does not fulfil these criteria will have their profile reviewed.

Auditors who return to audit under the SIZA programme after a one year or more gap, will be required to undertake two shadow audits as well as participate in a refresher course in the SIZA Environmental Standard, code and/or legislation updates, as well as online training with a required competency test as determined by SIZA.

5.8 Auditor Evaluation

All auditors will be subject to one unannounced or announced independent shadow audit every three years. This shadow will be undertaken by a SIZA approved shadow auditor. Reports on the shadow audit will be submitted to SIZA for review on competence and audit calibration. Audit firms will be required to continue to conduct annual evaluation audits on each lead auditor.

5.9 Internal Audits

The SIZA scheme reserves the right to undertake an internal audit of the audit firms at any stage to ensure that the necessary SIZA technical support systems and procedures are in place to audit against the SIZA Environmental Standard.

6. IMPLEMENTATION DATE

These guidelines and requirements for auditor competency were phased in over 12 months and came into full effect on 1 August 2020.

We thank you for your support of the programme and involvement in development of our growing group of environmental auditors!