## Control Union Social Compliance Lead Auditor Training

**Purpose:** Refining techniques for conducting social compliance audits

**Sessions to run approx.: 9am – 5pm, Monday – Thursday**

**Lunch and 2 snack breaks each day**

<table>
<thead>
<tr>
<th>Session</th>
<th>Time</th>
<th>Session Name</th>
<th>Session Objectives</th>
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| Session 1 | AM   | Introduction and Overview | • Share with other participants information about themselves  
• Leveling of expectations for the training program, their co-participants and the training team  
• Discuss the content of the training and its methodologies  
• Confirm overall expectations/outcomes of the training |
| Session 2 | AM   | Trends in Social Auditing | • Discuss the global context of social auditing  
• Understand the challenges and criticism of social auditing  
• Understand how social auditing has evolved |
| Session 3 | AM   | Overview of Systems Thinking | • Understand the value of a using a "systems approach" for auditing  
• Define systems  
• Understand "systems thinking" in relation to Plan, Do, Check, Act (PDCA) model |
| Session 4 | PM   | Investigative Approach to Data Gathering | • Define objective data (audit data, audit evidence, and audit findings)  
• Differentiate objective vs. subjective data  
• List the elements of triangulation  
• Describe how to use triangulation to validate information  
• List key considerations in creating audit findings |
| Session 5 | PM   | Social Compliance Audits: Key Processes & Activities | • Develop a common understanding of the key knowledge, skills, competencies, and ethical values of a social compliance auditor  
• Be able to describe specific activities under each audit component of the social compliance audit process |
| Session 6 | PM   | Introducing the Case Study | • Introducing the case study |
| **DAY 2** |      |               |                    |
| Session 7 | AM   | Preparing for the Audit | • Understand the importance of pre-audit planning  
• Identify pre-audit information required  
• Identify potential risks from pre-audit information  
• Determine objectives and strategy for a social compliance validated audit  
• Understand the purpose and significance of the audit scope  
• Demonstrate ability in preparing an audit plan |
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<thead>
<tr>
<th>Session 8</th>
<th>AM</th>
<th>Conducting the Opening Meeting and Gathering Information from Management</th>
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<td></td>
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<td>• Describe why engagement with management is important</td>
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<td>• Discuss protocols for engaging with management</td>
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<td>• Know how to better understand management’s perspective</td>
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<td>• List elements of effective communication</td>
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<td>• Discuss ways of handling difficult situations</td>
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<td>• Describe the flow of an Opening Meeting</td>
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<td>Session 9</td>
<td>AM/PM</td>
<td>Gathering Information from Facility Documents</td>
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<td>• Understand the importance of reviewing factory documents</td>
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<td>• Determine what types of documents would be needed to assess</td>
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<td>• Identify potential risks and gaps from information gathered</td>
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<td>Session 10</td>
<td>PM</td>
<td>Conducting a Pay and Time Records Review and Analysis</td>
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<td>• Understand importance of reviewing pay and time documents</td>
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<td>• Identify which audit criteria can be verified from pay and time</td>
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<td>• Describe common nonconformances to be found in pay and time</td>
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<td>• Demonstrate skills in identifying gaps from payroll and time</td>
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<td>Session 11</td>
<td>PM</td>
<td>Daily Wrap-up Meeting</td>
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<td>• Understand the value of a wrap-up session</td>
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<td>• Identify the outputs of a wrap-up session</td>
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<td>Session 12</td>
<td>PM</td>
<td>Interviewing Management</td>
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<td>• Role Play</td>
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<td><strong>DAY 3</strong></td>
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<td>Session 13</td>
<td>AM</td>
<td>Gathering Information from Workers</td>
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<td>• Understand the importance of gathering information from workers</td>
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<td>• Know the strengths and weaknesses of the different types of</td>
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<td>interview settings and methods</td>
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<td>• Demonstrate appropriate techniques in gathering information from</td>
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<td>• Demonstrate ability to manage worker expectations in initiating and</td>
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<td>closing the interview</td>
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<td>• Know how to assess the reliability of the information gathered</td>
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<td>• Process the information gathered from workers</td>
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<td>Session 14</td>
<td>PM</td>
<td>Analysis of Findings &amp; Report Writing</td>
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<td>• Understand the 5 steps to develop audit findings</td>
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<td>• Understand how to rate audit findings applying Audit Criteria</td>
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<td>• Enter evidence and findings into the Comprehensive Evaluation Report</td>
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<td>and Audit Criteria template</td>
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<td>• Understand how to prepare an Executive Summary</td>
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<td><strong>DAY 4</strong></td>
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<td>Session 15</td>
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<td>Conducting the Facility Closing Meeting</td>
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<td>• Understand requirements for conducting the closing meeting</td>
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<td>• Describe pointers in conducting an effective closing meeting</td>
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<td>• Learn how to present sensitive information</td>
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<td>Session 16</td>
<td>PM</td>
<td>Q&amp;A/Integration of Learning</td>
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