

Criteria for Certification:

Training Course Providers

CRT 6. 12

AUTHORIZATION

Revision	3.4
Issue Date	2012 12 01
Application Date	2013 01 01
Transition period	Refer to the transition section of these criteria
Approval Date	2012 10 20
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1. INTRODUCTION

1.1. Background

The Southern African Auditor and Training Certification Authority (SAATCA) has developed these criteria to form the basis upon which Training Course Providers (TCP) can be approved by SAATCA to provide management system auditor training courses.

In developing these criteria, SAATCA has taken into account and used as guidance, where appropriate, the requirements of ISO/IEC 17024 standard, International certification criteria as published by the International Personnel Certification Authority (IPC) (previously IATCA). SAATCA reserves the right to amend the criteria as required to ensure compliance with South African legislation and requirements of interested parties.

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1.2. Purpose

This document describes the criteria for SAATCA TCP approval and is intended to be used by:

1. Potential applicant TCPs to determine their suitability / readiness for making **initial** application for SAATCA approval **and for maintenance thereof** and for ensuring they have the necessary evidence to demonstrate conformity to these criteria and
2. The SAATCA TCP evaluators to evaluate TCPs for purpose of registration.

Any standard or legislative references relate to the current published version.

1.3. Programme Objectives

This programme forms an integral part of the SAATCA criteria for all the various auditor certification schemes to ensure that auditors gain knowledge as defined in the "Guidelines for auditing management systems", ISO 19011.

All SAATCA training course provider approval is for training based on ISO 19011 and ISO 17021 (or equivalent).

Participation in this programme is voluntary and open to all course providers that present management system **lead auditor** training courses. TCPs that are approved by SAATCA have demonstrated that they comply with the requirements to:

- a. Administer and manage the provision of auditor training courses in conformity with acceptable management system processes such as those defined in the relevant ISO/IEC standards, and the SAATCA criteria.
- b. Provide suitably qualified facilitators for the presentation of the relevant courses
- c. Demonstrate, as required from time to time, continued conformity with this criteria

A SAATCA approved TCP is authorized to present a "Certificate of Successful Completion" of an approved SAATCA auditor training course.

2. REQUIREMENTS FOR TCP APPROVAL

The detailed requirements for TCP approval are included in subsequent sections of these criteria, and are summarised within the following areas:

- **Demonstrable** quality management system (QMS) **conforming to selected requirements**. Refer Section 4.
- Instruction Team: Facilitators, assessors and moderators. Refer Section 5
- Course material & associated documentation requirements. Refer Section 6.
- Course management and administration. Refer Section 7.

- Learner assessment. Refer Section 8.

3. GENERAL

3.1. Responsibilities

TCP Scheme Committee: A Training Course Providers (TCP) Scheme Committee has been tasked to establish the requirements contained in this criteria and for the oversight of TCP approval, for example review and decision on appeals and technical queries related to training.

SAATCA: The evaluation process shall be administered and managed by SAATCA. The Certification manager manages the TCP evaluation processes to ensure compliance against these criteria, in accordance with defined procedures, including:

CPR 3.1 Processing Applications of Training Course Providers

CPR 3.2 Evaluation of Training Course Providers

CPR 3.3 Suspension and Withdrawal of Training Course Provider Approval

3.2. TCP Approval Process

3.2.1. SAATCA shall use the following three components to evaluate and approve TCPs:

- Evaluation of the TCP's management system
 - Evaluation of documentation may be carried out on, or off site
 - Evaluation of implementation and effectiveness shall be carried out on-site at the TCP facilities
- Evaluation of the course content/material, outcomes and NQF levels
 - Evaluation of course material documentation may be carried out on, or off site
- Evaluation of the course presentation assessment and administration
 - Evaluation of the presentation, structure and learner assessment of each course offered
 - Evaluation of the management of the course
 - Evaluation shall be carried out on-site at the TCP facilities or at the venue where the course is being presented.

3.2.2. All TCP's applying for approval from SAATCA will be required to submit the following:

- Completed and signed application form (SF74) which must be accompanied with the current fees available from SAATCA website
- TCP management system procedures as defined in this criteria document - CRT 6.12.
- Training course material, for each course for which application is made.
- Training course schedules, for each course for which application is made.
- Copy of the procedures for the effective administration of the course and outcome assessment.
- Evidence of qualified facilitators and assessors (e.g. CV, certificates and /or SETA ETQA Report and confidentiality agreements for contractors).
- Copy of any other documentation applicable to the course of TCP.
- Other (which may be specified by the TCP or by SAATCA from time to time)

The above requirements for TCP registration may either be provided to the SAATCA office, or made available for use by the evaluator/s during an arranged TCP site visit evaluation.

3.2.3. Approval shall be granted for 3 years subject to annual fees, re-registration and successful annual surveillance. To ensure conformity SAATCA reserves the right to conduct additional evaluations.

3.2.4. The approval certificate will be issued annually, upon receipt of full payment and re-registration document.

3.2.5. SAATCA reserves the right to suspend or withdraw the approval of TCP's according to CPR 3 3 Suspension and Withdrawal of TCP Approval

3.3. Applicability of these Criteria

These criteria are intended for all Lead Auditor courses that relate to any of the SAATCA active auditor certification schemes, including the following:

For the latest updated list, please refer www.saatca.co.za

3.4. ISO 9001 Certification, SETA, Learning Quality Assurance or Other Accreditation

While ISO 9001 quality management certification, SETA accreditation or another body recognised by SAATCA is not a minimum requirement of the SAATCA TCP criteria, TCPs are encouraged to consider these options.

For TCPs who do have ISO 9001 certification or SETA accreditation, the SAATCA evaluation of the quality management system shall be **reduced** and include **only** the confirmation that the ISO 9001 management system, course material and training presentation and management includes the requirements specified in these Criteria and that they are effectively managed.

3.5. Definitions, Acronyms, Abbreviations

CPD	=	Continuing Professional Development
QMS	=	Quality Management System
SETA	=	Sectoral Education and Training Authority
TCP	=	Training Course Provider
NQF	=	National Qualifications Framework

4. MANAGEMENT SYSTEM

4.1. Quality Management System (QMS)

- 4.1.1. The TCP shall operate a formal quality management system.
- 4.1.2. The Quality Management System may be approved by a SETA or an Accredited Body, or by a Higher Learning Quality Assurance Body or another body recognised by SAATCA, in which case the SAATCA evaluation of this will be reduced.
- 4.1.3. Systems not approved as above will require full evaluation and acceptance by SAATCA in accordance with this criteria document.
- 4.1.4. The TCP's formal management system shall meet the applicable requirements of ISO 9001, as correlated to these criteria in 4.2.below and the following:
 - a) Roles and responsibilities – defined roles with regards to the management system and provision of training (refer ISO 9001, 5.5.1)
 - b) Provision of training related infrastructure and work environment (refer ISO 9001, 6.3 and 6.4)
 - c) Customer satisfaction (learners and/or client) (refer ISO 9001, 8.2.1)
 - d) Internal audits (refer ISO 9001, 8.2.2)
 - e) control of nonconforming training services (refer ISO 9001, 8.3)
 - f) corrective action (refer ISO 9001, 8.5.2)
 - g) preventative action (refer ISO 9001,8.5.3)

4.2. Administrative Procedures

- 4.2.1. The TCP shall develop and maintain documented procedures for the effective administration of auditor training courses. Areas covered shall include:
 - a) the design, development and evaluation of course materials and documentation to ensure conformity with the current IPC and SAATCA criteria (also refer ISO 9001 7.3,)
 - b) the presentation of the course (also refer ISO 9001, 7.5)
 - c) the verification of prerequisite knowledge of learners where this is required
 - d) the control of course publicity and advertising

- e) a document control system for maintaining the currency of procedures and course notes (also refer ISO 9001 4.2.3)
- f) the selection of, and on-going training programs for facilitators, including witnessing and evaluation annually also refer ISO 9001 6.3
- g) management reviews
- h) records of individual learners and each course offering, including analysis of statistics(refer ISO 9001 4.2.4)
- i) learners assessment procedure, including “competent/not yet competent” criteria.
- j) operation and conduct of the examination and re-examination, including security and confidentiality of examination questions and answers and marked papers
- k) issue and withdrawal of certificates
- l) storage and eventual disposal of marked papers and continual evaluation records (also refer ISO 9001 4.2.4)
- m) methods, such as statistical techniques, used to measure at least the following:
 - learner evaluations (eg competent/not-yet-competent rates, including re-write statistics)
 - facilitators performance
 - overall course performance
- n) submission of significant changes to the course(s) to SAATCA for review and acceptance before implementation
- o) complaints and appeals

4.3. Records

- 4.3.1. The TCP shall maintain records that demonstrate conformity to the requirements of these SAATCA criteria.
- 4.3.2. Records, or translations of the records, shall be maintained in English.
- 4.3.3. Records may be in the form of any medium (hard copy, electronic, etc.) acceptable to SAATCA.
- 4.3.4. The records for competent/not-yet-competent decisions and for course certificates shall be maintained for at least three years. All remaining records shall be maintained for at least eighteen months unless otherwise specified.
- 4.3.5. These records shall be made available to SAATCA.
- 4.3.6. The records for each course presentation shall include (as applicable):
 - a) venue, dates, related advertisement and promotional literature;
 - b) names of: facilitators, assessors, moderators (including substitutions), together with their auditor certification status at the time of that course presentation; trainee facilitators; observers;
 - c) identification of the specific issue of the course documentation used;
 - d) identification of the examination paper used;
 - e) names of all learners who attended the course, together with the continual assessment results and the examination results for each learner;
 - f) all copies of marked examination papers and continual evaluation forms;
 - g) the percentage of learners that successfully completed the course;
 - h) name of each learner that took a re-examination, together with the re-examination result for each;
 - i) unique identification number of each certificate of successful completion and the name of the delegate to whom it was issued.

4.4. Management Review

4.4.1. The management of the TCP shall review, at a minimum, the following at least annually for effectiveness and conformity to SAATCA requirements:

- a) actions outstanding from previous management review meetings;
- b) actions resulting from Evaluations by SAATCA;
- c) administrative procedures;
- d) course design;
- e) course presentation;
- f) performance of facilitators and future training/CPD needs;
- g) complaints and appeals;
- h) analysis of learner feedback and competent/not-yet-competent rates.

4.4.2. Records of reviews shall be retained for at least three years.

4.5. Complaints and Appeals

4.5.1. The TCP shall have documented procedures for managing complaints and appeals against its decisions, including provision for corrective and/or preventive action resulting from root cause analysis to be taken if required as a result of any complaint or appeal.

4.5.2. The procedures shall include the potential for involvement of the approval body in unresolved complaints or appeals.

4.5.3. The TCP shall inform all learners of the right to make a complaint or an appeal and shall provide written details of the process for doing so, on request.

4.5.4. The TCP shall notify each complainant or appellant in writing of the result of the complaint or appeal and of the right to escalate the appeal to SAATCA in the event of an unsatisfactory resolution of the appeal.

4.5.5. The TCP shall maintain records of all complaints and appeals, and of their resolution.

4.6. Confidentiality

4.6.1. The TCP shall have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of all information provided by learners, including the results of examinations.

4.6.2. Except as required in these criteria, information about a learner shall not be disclosed to a third party without the written consent of the learner; nor shall information about a learner's sponsor be disclosed without written consent of the sponsor.

5. INSTRUCTION TEAM – FACILITATORS, ASSESSORS AND MODERATORS

5.1. Class size and number of facilitators versus learners

5.1.1. The maximum number of learners per single facilitator shall not exceed 16. For two facilitators the maximum number of learners shall not exceed 25. Deviation from this can only be approved on concession by the TCP Scheme Committee.

5.1.2. Each course offering for more than 16 learners shall be presented by at least two full time facilitators, who shall be actively involved in either facilitation or assessment for the duration of the course. Additional resource people or trainee facilitators may be used for specific subjects or activities; however, the two facilitators remain responsible for the entire course offering.

5.1.3. The minimum number of learners in a class shall be four.

5.1.4. Under rare and exceptional circumstances, a course offering for fewer than four learners or more than twenty five learners may be considered for approval in accordance with section: Variations.

5.1.5. Learners shall be required to be in attendance for the full duration of the course. Failure to do so shall be reflected in the learner's continuous and final evaluations.

5.2. Facilitators

- 5.2.1. The lead Facilitator shall be a valid SAATCA certified Lead Auditor (or alternative equivalent approved by SAATCA), in the relevant discipline. Any second facilitator shall be a valid SAATCA certified (or alternative equivalent approved by SAATCA), Auditor.
- 5.2.2. Assessors shall have successfully completed assessor training, or provide proof of evaluated competence as assessors and shall be Lead Auditors in the relevant discipline.
- 5.2.3. Moderators shall have successfully completed moderator training, or provide proof of evaluated competence as a moderator.
- 5.2.4. All Facilitators shall have the following competencies:
 - a) be thoroughly experienced in the principles and practices of auditing management systems relevant to the content of the course(s) they instruct, ie subject matter experts
 - b) ability to facilitate the learning of appropriate auditing knowledge, and the development of auditing skills
 - c) ability to teach, and familiarity with the current course materials and documentation
 - d) knowledge of current auditing practices and of relevant standards
- 5.2.5. Before allowing facilitators to present a course, TCP's shall first ensure that they have acquired the competencies as defined above. As a minimum this shall involve the facilitators:
 - a) participating either as a delegate or observer on a complete presentation of the training organization's course
 - b) participating as a facilitator under the supervision of a trained facilitator, for a minimum of one course
 - c) being observed by the training provider presenting and managing the course
- 5.2.6. Outside of South Africa, an interpreter shall be provided for each facilitator who does not speak the language of the learners.
- 5.2.7. The TCP shall have documented procedures that ensure that all facilitators meet the TCP's competence requirements and maintain satisfactory performance. These procedures shall include review, at least annually, of each facilitator's performance. Records of these reviews shall be maintained by the TCP.
- 5.2.8. Where there has been no previous presentations of a course (i.e., where the TCP is seeking initial approval), the TCP shall have documented evidence of fulfilment of the competence requirements of the facilitators before the initial presentation.

5.3. Declaration of interest

- 5.3.1. Assessors and moderators shall declare interest at any given time by completing the SAATCA SF122 declaration of conflict of interest.
- 5.3.2. Conflict of interest occurs when actions or decisions that is influenced by, or perceived to be influenced, including:
 - A family relationship or personal/emotional relationship/antagonism
 - A direct or indirect financial interest in a decision regarding the attendee
 - Any affiliation, with the employer or Authority of the attendee that may influence impartiality
- 5.3.3. It should also be noted that the above is to provide guidance in recognizing conflict of interest but that other conflicts not stipulated above but important to declare to insure impartiality, shall also be declared.

6. COURSE MATERIAL & ASSOCIATED DOCUMENTATION

6.1. Design of course materials

- 6.1.1. Design, development and evaluation of course materials and documentation to ensure conformity to the requirements of:
 - ISO 19011 and ISO/IEC 17021

- NQF Level 5 descriptors (Refer ANNEX 1)
- The relevant SAATCA **scheme auditor criteria**, as applicable to the scheme/s for which SAATCA approval is applicable
- The relevant SAATCA **scheme TCP criteria**, as applicable to the scheme/s for which SAATCA approval is applicable

6.1.2. Well defined learning outcomes based on these SAATCA approved scheme criteria.

6.2. Course content and NQF Level learning outcomes

- 6.2.1. Lead auditor training shall be provided at NQF Level 5 or higher [with the examination set at NQF Level 5](#). (Refer Annex 1 [for the Level 5 Descriptors](#))
- 6.2.2. The course material and outcomes shall comply with the scheme specific content requirements. Refer to the ANNEXES for scheme specific TCP applicable criteria.
- 6.2.3. The course material shall include the SAATCA auditor certification process.
- 6.2.4. The learning outcomes shall encompass both the scheme specific standard (eg ISO 9001, 14001, 22000, OHSAS 18001, etc) and the audit standard, ISO 19011 and 17021 (or equivalent).
- 6.2.5. Where the TCP is applying for accreditation from a SETA, course material must be aligned to the relevant Unit standard, these criteria and applicable assessment tools and methods must be developed.

6.3. Certificates

- 6.3.1. A certificate of "Successful Completion" shall be provided to each learner who has passed both the written examination (where applicable) and the continual evaluation.
- 6.3.2. The design and content of the certificate of "Successful Completion" and the certificate of "Attendance", and any changes thereto, shall be approved by SAATCA.
- 6.3.3. The certificate of "successful completion" shall:
 - a) clearly state that the course is recognized by the approval body
 - b) include the SAATCA logo. (Refer to SAATCA "Rules Governing the Use of the SAATCA Logo".)
 - c) include a unique identification number for each certificate
 - d) clearly show the name and number of the TCP, as it is registered with SAATCA
 - e) identify the course by: course title, course number (if any)
 - f) include the duration (in days) and/or beginning and end dates of presentation of the course (eg 3rd to 7th)
 - g) include the name and ID of the learner
 - h) include the name of the training facilitator who presented the course
 - i) include a statement that the course is ISO 19011 and ISO 17021 (or equivalent) based
 - j) state that the learner named has successfully completed the course
 - k) include all information on a single side of the certificate.
- 6.3.4. The wording of any certificates of "Attendance" shall make it clearly apparent that the learner has only attended the course. There shall be no implication of successful completion. The SAATCA logo shall not be included on such certificates.
- 6.3.5. Learners shall be informed by the TCP that certificates of "Attendance" will not be accepted by SAATCA for application as SAATCA certified auditor.

7. COURSE MANAGEMENT AND ADMINISTRATION

7.1. Course Material Handouts

- 7.1.1. Each learner shall be provided with a complete set of course notes including course outcomes to supplement the training program.

- 7.1.2. The documents included in the course notes shall themselves illustrate good organization, layout and document management practices, including document revision level and appropriate page numbering.
- 7.1.3. The set of course notes shall prominently identify the approved TCP (e.g., the cover page).
- 7.1.4. The learner notes shall cover each session and shall include all important points of the element being covered.
- 7.1.5. Examples of typical documents, reports and forms shall be included.
- 7.1.6. Course notes may include typical examination questions, provided they are not used in any of the examinations, either during the course or following the course.
- 7.1.7. Each learner shall have a copy of the current revision of the relevant scheme standard (eg ISO). If the standard is not supplied as part of the course notes, each learner shall be required to take an original copy to the course. A copy shall be made available for loan to any learner who does not have one.

7.2. Facilities

- 7.2.1. The TCP shall ensure that suitable facilities for training are provided, including classroom, audio-visual and other training equipment, and facilities for team activities.

8. LEARNER TRAINING AND ASSESSMENT

8.1. Duration and Organization

- 8.1.1. The total course time devoted to direct instruction of an assigned team and individual activities shall be at least 36 contact hours including exam. This time excludes the basic understanding and implementing of the management system standard (eg ISO 9001, 14001, etc) standard which forms part of the pre-requisite training (refer next paragraph) but includes the auditing application of the management system standard.
- 8.1.2. A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least two-days on the standard applicable ie. ISO 9001 /14001 etc, before enrolment to the course.
- 8.1.3. If the course is given through interpreters, the time shall be increased as required to meet the learning objectives.
- 8.1.4. The course shall be presented during five consecutive days, unless otherwise authorized by the approval body.

8.2. Training Methods

- 8.2.1. Training courses shall be designed to have a high degree of interaction between learners and facilitators. Training methods shall seek to involve and engage learners throughout the duration of the course.
- 8.2.2. The training course shall include both knowledge-based sessions (to facilitate understanding of concepts) and skill-based sessions (application of knowledge and skills in practical activities) and each learner shall be subjected to realistic scheme specific management system audit practices and conditions.
- 8.2.3. Knowledge-based sessions may be facilitator led, but shall allow for some interaction with learners, enabling facilitators to test learning and learners to clarify their understanding, as required.
- 8.2.4. Skills-based sessions may be supported by facilitator input to address the relevant requirements and techniques such as for managing meetings and interviews.
- 8.2.5. Methods for validating learner achievement of the learning objectives and for providing timely feedback shall be included in the course.

- 8.2.6. Each learner shall be required to participate in practical skills-based activities: workshops, case studies, auditor role-playing or actual scheme specific management system audit situations. At least 50% of course time shall be used for such activities.
- 8.2.7. When learners participate in actual audit situations as part of the course, two-thirds of the time spent conducting such audits shall count towards the total course time. Transit time to and from the audit site and any delay time is not to be counted.
- 8.2.8. Facilitators shall demonstrate effective management of the course, including attention to time schedule, course content, requirements of the standard, facilitator conduct, and other course requirements.
- 8.2.9. The facilitators may use training aids, such as Audio Visual Media that are directly relevant to supplement the training. These may include commercial training videos or videos produced during the course to record and review the performance of learners. No more than three hours of the total course time may be devoted to non-interactive, passive training aids.

8.3. Evaluation of Learners

- 8.3.1. Each learner shall be evaluated using the following two independent elements, both of which shall be satisfied if the learner is to successfully complete the course:
 - a) the continual evaluation (which for an SETA accredited TCP would form part of the Formative Assessment) by the facilitators/trainee facilitators of each learner's achievement of the Learning Objectives detailed in [the applicable Scheme Specific ANNEXES](#); and
 - b) a written examination (which for an SETA accredited TCP would form part of the Summative Assessment) that tests learners' ability to apply audit principles and practices against the requirements of scheme specific standard and ISO 19011 [and](#) ISO/IEC 17021.

8.4. Continual Evaluation

- 8.4.1. The continual evaluation shall be documented and shall evaluate each learner's achievement of the learning objectives including, but not limited to the following learning objectives given in these criteria and attendance and punctuality during the course
- 8.4.2. Each learner's performance shall be reviewed at the end of each day by the facilitator(s). A daily grade shall be assigned for each learner, reflecting the assessment of all applicable facilitators
- 8.4.3. Course facilitators shall identify learners who appear to be having difficulty in achieving the learning objectives and who are not performing adequately in course activities. Such learners shall be informed privately and in a timely manner of the facilitator's observations and be given the opportunity to improve
- 8.4.4. A learner who [is not successful in](#) the continual development evaluation must satisfactorily complete another full training course before being eligible to receive a certificate of successful completion. In the case of a SETA Accredited TCP, the guidelines for a not-yet- Competent outcome must be followed

8.5. Written Examination

- 8.5.1. The written examination shall evaluate the learners' comprehension of the learning objectives and in particular the application of audit principles and practices to the scheme specific standard (eg ISO 9001, 14001, 22000, OHSAS 18001, etc) , ISO 19011 [and](#)/or ISO/IEC 17021 and their ability to provide written justification of their evaluations.
- 8.5.2. The examination shall be designed to be completed in [two and a half \(2.5\)](#) hours by a learner who has adequate comprehension of the course content and who has achieved the course learning objectives [and shall comply with the following](#) **Principles of good assessment practice**:
 - a. Fairness
 - b. Validity
 - c. Reliability
 - d. Practicability

In the case of a SETA Accredited TCP, the Pre-Moderation Report should indicate whether this timeframe complies with these.

- 8.5.3. The time allotted for taking the examination shall be **two and a half (2.5)** hours. Strict adherence to the time limit is to be maintained. (See Above)
- 8.5.4. Each learner shall be evaluated using the following two independent elements, both of which shall be satisfied if the learner is to successfully complete the course:
- 8.5.5. The facilitator(s) or proctor(s) may allow a learner whose primary language is not the language in which the course is conducted up to 30 minutes additional time for taking the written examination. The learner may use an appropriate two language dictionary. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.
- 8.5.6. The facilitator(s) or proctor(s) may allow a learner with a particular disability that adversely affects the learner's capability to complete the examination in the allotted time up to 30 minutes additional time for taking the written examination. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.
- 8.5.7. At least 75% of the examination grade shall be based on questions that require essay responses and shall demonstrate the learner's ability to analyse audit scenarios and understanding of how to apply the scheme specific standard during an audit.
- 8.5.8. The remainder of the examination grade shall be based on multiple choice or, true/false or, short answer questions.
- 8.5.9. The minimum passing grade shall be 70%.
- 8.5.10. The **exam/assessment is open book and the following** reference material is allowed during the examination: a copy of the scheme specific **management system** standard, (eg ISO 9001, ISO 14001, OHSAS 18001 etc); the course notes provided by the TCP and any personal notes made by the learner during the course, **copies of ISO 19011 and/or ISO/IEC 17021; a dictionary.**
- 8.5.11. SAATCA examination requirements are as follows:
- a) Administration of the examination to be either by the TCP, or by another designated authority **and to implement the following controls to prevent fraudulent examination practices:**
 - **confirm the identity of exam candidates and record this on the exam paper**
 - **ensure that candidates to sign a non-disclosure agreement included in the exam paper**
 - **ensure an invigilator or facilitator/assessor is present at all times during the exam**
 - **ensure that no cell phones or any photographic devices are permitted**
 - b) Examination shall take place at the conclusion of the training course, or at some later time, but no later than six months after the conclusion of the training course
 - c) **Any Exam papers set by the TCP** shall be submitted to SAATCA prior to use. For future consideration SAATCA will consider the development of a Database of Questions
- 8.5.12. Copies of examination questions (other than those in an example examination paper during class time), examination papers, solutions or completed examination papers shall not be supplied to any learner or any other party (except to the approval body) for any reason.
- 8.5.13. TCP's shall, where possible, ensure that the facilitator(s) for any given course presentation, and/or any designated authority (see above) are not aware of the examination paper to be used for that presentation.

8.6. Assessment; Competent Not yet Competent Decision

- 8.6.1. When the examination is given by the TCP, each examination paper shall be graded by one of the facilitators/assessor. Another **person** shall check the addition of the score allocated in each section **and any anomalies rectified by the facilitator/assessor.**
- 8.6.2. Examination papers **which score 67% to 71% percent shall be regraded by a second facilitator/assessor. This grader shall be competent in the discipline of the exam.**

- 8.6.3. The TCP shall have procedures to resolve any differences in grading and issue final grades.
- 8.6.4. If the course is given through interpreters, the translators who translate the learners' written examination answers shall be selected by the TCP in such a way that the TCP is confident that they provide impartial, knowledgeable and accurate translations.
- 8.6.5. A learner who **is not successful in the continual** evaluation must successfully complete another full training course before being eligible to receive a certificate of successful completion. . In the case of an SETA Accredited TCP, the guidelines for Not-yet-Competent must be followed.
- 8.6.6. When the examination is given by a body other than the TCP **the above shall also apply**.

8.7. Re-examination

- 8.7.1. A learner who **achieves between 50 and 69% in the written examination, and has passed the continual [formative] evaluation**, shall be allowed one re-examination within 12 months. **Learners with less than 50% are not permitted to re-write**.
- 8.7.2. The re-examination shall normally be conducted by the same body which conducted the **first** examination. SAATCA may give its approval for a different body to conduct the re-examination. This should be submitted to SAATCA as a variation request, which shall only be granted if SAATCA is confident that the examination will be administered according to the requirements above.
- 8.7.3. A different examination paper shall be used for the re-examination.
- 8.7.4. The re-examination shall be taken in the presence of an approved proctor/**invigilator** as described in the examining body's procedures.
- 8.7.5. A learner who **is not successful in achieving 70% in the re-examination is required to** take a full training course again before being eligible to take another examination.

9. TCP PERFORMANCE CRITERIA

Every approved TCP will be required to provide SAATCA with Annual submissions of the following information:

- 9.1. Total number of courses presented.
- 9.2. Total number of learners.
- 9.3. Competent/Total learners' ratio indicated in percentage.

10. SAATCA APPROVAL MANAGEMENT

10.1. Notification of Changes / Notifiable Changes - SF 56

- 10.1.1. By making application to SAATCA for approval, all TCP's commit to notifying SAATCA of any changes that can affect the TCP's state of compliance with SAATCA, regulatory or legal requirements, and must be notified to SAATCA. Refer to Annexure 2- SF 56.
- 10.1.2. The TCP shall ensure that any major changes it intends to make to the training course are first approved by SAATCA. Depending on the nature of the changes, SAATCA may require re-approval of the course materials and/or the TCP's administrative system.
- 10.1.3. Following a decision on, and publication of changes, the TCP shall verify that each of its course facilitators carries out any necessary adjustments to the course and materials within the first presentation of the changed course.
- 10.1.4. The TCP shall notify SAATCA of any change of address or any significant changes in organization structure or provision of services.
- 10.1.5. Should a TCP make use of an alternative facilitator, SAATCA must be notified before the course. The TCP must ensure that the facilitator complies with SAATCA requirements as set out in this document.

10.2. Extension of Scope of SAATCA Approval

Should an approved TCP want to extend the scope of SAATCA approval, they shall complete an application form (SF 74). SAATCA shall evaluate the training course material and course presentation, but shall not necessarily re-evaluate the management system, unless concerns are identified with regard to the extension scope.

The Certification manager shall provide quotes for extension as indicated under Fees below.

10.3. Use of the SAATCA Logo - SF 48

The use of the SAATCA logo shall be in accordance with: Regulations Governing the SAATCA Logo (SF48)

10.4. SAATCA Complaints, Appeals and Disputes Process - QSP 1.4

All complaints and appeals from TCPs to SAATCA shall be processed in accordance with QSP 1.4

10.5. SAATCA Fees- SF 55

All TCP's fees shall be governed by the Training Course Provider Fee Schedule (SF55) which is approved by the SAATCA Board. On receipt of a TCP application (initial application, or extension of scope to more schemes), the Certification manager shall provide a quotation based on the fee structure for acceptance by the TCP.

10.6. SAATCA Suspension and withdrawal Process – CPR 3.3

All suspension and Withdrawal of Course Provider Approval shall be processed in accordance with CPR 3.3

10.7. Transition

These criteria will be effective for new TCP applicants upon date of approval by the SAATCA Technical Management Board.

For approved TCPs, there shall be a one year period for them to transition to this version of the criteria.

10.8. Franchising, Licensing or Subcontracting of Courses

10.8.1. SAATCA approval is not transferable to any TCP's or JV's

11. VARIATIONS

11.1.1. Variations to any of these criteria shall be considered for approval upon written submission by the TCP to SAATCA. Any such requests shall be made immediately upon the reason for the variation request becoming known. SAATCA shall respond in writing.

11.1.2. Should the variation sought be a substantial change to the intent of these criteria, SAATCA shall seek the approval of the Scheme Committee before agreeing to it.

11.1.3. When evaluating a request for variance SAATCA shall take into account the TCP's:

- reasons for the requested variance;
- rationale for the requested variance;
- modified training plan and/or revised course outline; and
- assessment of impact on the learning process.

END OF CRITERIA

12. REVISION HISTORY

Revision Date	Rev No.	Summary of changes
Various	1 & 2	Prior to implementation of revision history table
Oct 2011	Draft	Full review of the criteria. Updated CRT6.12 to include the non-scheme specific components of CRT6.11. Clarified terminology with respect to learner, facilitator, assessor etc. Addition of annexures to define scheme specific course content, per scheme. Improvement in alignment with the NQF requirements
March 2012	3	8.5.1 was rewritten to enable easy understanding 10.8.1 SAATCA approval is not transferable to any TCP's or JV's The SF 56 "Notifiable Changes" is added as Annex 2

Revision Date	Rev No.	Summary of changes
October 2012	4	<p>Correct dates filled in for approval, issue and transition</p> <p>Clarifications</p> <ul style="list-style-type: none"> • Programme objectives (1.3) Clarified that the programme relates to lead auditor training. • Requirements for TCP approval (2) Clarified that the QMS requirements relates only to specified requirements as per Section 4 and not the whole of ISO 9001. • TCP Approval Process (3.2) Reworded to clarify that it is SAATCA's role to evaluate and approve (which includes course material and associated NQF Levels). • Course content and NQF Level learning outcomes (6.2) Clarified the NQF level for exams. • Headings aligned for the different annexures and the wording aligned between the different schemes specific criteria <p>Technical Changes</p> <ul style="list-style-type: none"> • 8. Updated title to reflect content – Learner training and assessment. • Course duration and organization (8.1) Changed LA course duration contact time to 36 hours as there is a pre-requisite of a minimum of 2 days training on the applicable management system standard. • Written exams (8.5) Extended the exam duration to 2.5 hours, excluding additional time for language or disabilities and added control requirements for the administration of the examination to prevent fraudulent examination practices. • 8.3.1 Corrected reference to learning objectives in the ANNEXES. • Checking of adding of scores in exams (8.6.1) Checking of scores can be done by a second person not necessarily a facilitator and any anomalies in the adding added resolution of. • 8.6.2 Re-marking of exams Updated for papers which score 67 to 71%. • Removed term "fail" and replaced with not yet competent or equivalent. • Annexes: Reference to sampling was included and Annex 5 and 6 added

ANNEX 1: NQF LEVEL 5 DESCRIPTORS

- a) Scope of knowledge, in respect of which a learner is able to demonstrate an informed understanding of the core areas of one or more fields, disciplines or practices, and an informed understanding of the key terms, concepts, facts, general principles, rules and theories of that field, discipline or practice
- b) Knowledge literacy, in respect of which a learner is able to demonstrate an awareness of how knowledge or a knowledge system develops and evolves within the area of study or operation
- c) Method and procedure, in respect of which a learner is able to demonstrate an ability to select and apply standard methods, procedures or techniques within the field, discipline or practice, and to plan and manage an implementation process within a well-defined, familiar and supported environment
- d) Problem solving, in respect of which a learner is able to demonstrate an ability to identify, evaluate and solve defined, routine and new problems within a familiar context, and to apply solutions based on relevant evidence and procedures or other forms of explanation appropriate to the field, discipline or practice demonstrating an understanding of the consequences
- e) Ethics and professional practice, in respect of which a learner is able to demonstrate an ability to take account of, and act in accordance with prescribed organisational and professional ethical codes of conduct, values and practices and to seek guidance on ethical and professional issues where necessary
- f) Accessing, processing and managing information, in respect of which a learner is able to demonstrate an ability to gather information from a range of sources, including oral, written or symbolic texts, to select information appropriate to the task, and to apply basic processes of analysis, synthesis and evaluation on that information
- g) Producing and communicating information, in respect of which a learner is able to demonstrate an ability to communicate information reliably, accurately and coherently, using conventions appropriate to the context, in written and oral or signed form or in practical demonstration, including an understanding of and respect for conventions around intellectual property, copyright and plagiarism, including the associated legal implications
- h) Context and systems, in respect of which a learner is able to demonstrate an ability to operate in a range of familiar and new contexts, demonstrating an understanding of different kinds of systems, their constituent parts and the relationships between these parts, and to understand how actions in one area impact on other areas within the same system
- i) Management of learning, in respect of which a learner is able to demonstrate an ability to: evaluate his or her performance or the performance of others and to take appropriate action where necessary; and take responsibility for his or her learning within a structured learning process and to promote the learning of others
- j) Accountability, in respect of which a learner is able to demonstrate an ability to account for his or her actions, to work effectively with and respect others, and, in a defined context, to take supervisory responsibility for others and for the responsible use of resources where appropriate

ANNEX 2: NOTIFIABLE CHANGES

What are notifiable changes

Notifiable changes are significant changes to a Course Provider's management systems or Auditor's personal circumstances that can affect the organisation's or auditors state of compliance with SAATCA, regulatory or legal requirements, and must be notified to SAATCA.

Examples

The following are examples of changes which could be considered significant, and therefore may require a special audit or evaluation by SAATCA for continued validity of certification.

Internal Factors Course Providers

- Changes to the organizations management system:
 - Changes to management structure.
 - New ownership.
 - Relocation of activities or controls to a new site.
 - Centralization or decentralization of activities.
 - Significant changes to the organization's processes.
- Changes to the authority of the management representative, that impact on:
 - Management system effectiveness or regulatory compliance.
 - The capability and authority to assure service integrity.
- Changes to the organization's operational scope (scope of registration).
- Changes to number of trainers

Auditors

- Changes in Auditors personal circumstances
 - Changes in marital status that impact on certification card details.
 - Complaints received from auditees.

External Factors

- Available post-market information indicating a possible significant deficiency in the management system, course contents or auditors performance.
- Changes in critical suppliers (e.g. trainers).

ANNEX 3: SCHEME TCP REQUIREMENTS - QUALITY MANAGEMENT SYSTEM

1. INTRODUCTION

The Quality Management System auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing Quality management systems and of audit team management, as described in ISO 19011 and ISO/IEC 17021.

The primary focus of the training course shall be on training learners to audit Quality management systems based on the ISO 9001 standard, or recognized national and international equivalents, [and applicable legal requirements relevant to the organisation's product](#).

The TCP shall:

- a) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- b) encourage learners [to critically analyze](#) their own performance as a means for developing effective auditor skills.

2. PRIOR KNOWLEDGE REQUIREMENT

[Refer section 8 \(8.1.2\)](#)

3. GENERAL

These criteria are intended for use by auditor training approval bodies (SAATCA) and auditor training course providers (TCP's) for a Quality Management System Auditor training course

4. LEARNING OUTCOMES

4.1. General

[A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the flowing paragraphs](#)

4.2. Knowledge and application

- 4.2.1. Describe the purpose of a quality management system
- 4.2.2. Explain the purpose and business benefits of a quality management system.
- 4.2.3. Explain the 8 principles of quality management.
- 4.2.4. Explain the process approach to management systems.

4.3. Standards

A learner who successfully completes the course shall be able to

- 4.3.1. Explain the purpose; content and interrelationship of ISO 9000, ISO 9001 and ISO 9004
- 4.3.2. Explain the purpose of the ISO 9000 series and explain the interrelationship between ISO 9000, ISO 9001, ISO 9004, including available guidance on the application of the elements of ISO 19001, ISO 19011 and ISO 17021 and outline the process for the continuing development of these standards.
- 4.3.3. Understand the background to development of the Quality management system standards and the current status of the ISO 9001 series.
- 4.3.4. Explain the requirements of the current version of the ISO 9001 and identify the objective evidence needed to show conformance and effectiveness of the entire Quality management system
- 4.3.5. Describe the ongoing process of change in the ISO standards, the impact that changes in the ISO 9001 and ISO 19011 or ISO/IEC 17021 standards may have on the audit process, and the need for auditors to keep up to date.
- 4.3.6. Differentiate between documentation, and records.
- 4.3.7. Evaluate the differing needs for documentation in a variety of situations

4.3.8. Describe the difference between auditable standards and guidance documents.

4.4. Audit Process and Responsibilities

A learner who successfully completes the course shall be able to:

- 4.4.1. Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies, involved in certification / registration ISO 9001.
- 4.4.2. Explain the terminology related to ISO 9001 and quality management systems, drawing on ISO 9000 definitions and relevant terminology as applicable to ISO 19011 and ISO 17021
- 4.4.3. Describe the structure of ISO 9001.
- 4.4.4. Explain the intent and requirements of each clause of ISO 9001, drawing on ISO 9004 as appropriate to illustrate the broader intent of the ISO 9001 requirements.
- 4.4.5. Draw links between the 8 quality management principles and the requirements of ISO 9001.
- 4.4.6. Explain the difference between legal compliance and conformance with ISO standards.
- 4.4.7. List the benefits of documenting a quality management system and suggest approaches for doing so in a variety of situations.
- 4.4.8. Describe the International Accreditation Forum interpretations and guidelines for 3rd party certification bodies (registrars)
- 4.4.9. Differentiate between the scope of audit and the scope of ISO 9001, and describe the basis on which exclusion of ISO 9001 management system requirements might be permissible.
- 4.4.10. Suggest what objective evidence might be needed to demonstrate conformance with ISO 9001 requirements.
- 4.4.11. Describe the function of first, second, and third party audits, the similarities and differences, and the varying role of the auditor, the auditee and the client in the audit of each of these.
- 4.4.12. Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 4.4.13. Explain the need for confidentiality during all phases of the audit process.
- 4.4.14. Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 4.4.15. Summarize the SAATCA Criteria for Certification of Quality Management System Auditors, national and other auditor certification programs, and the international recognition of SAATCA certifications.
- 4.4.16. Explain the SAATCA Auditors' Code of Conduct.

4.5. Planning the Audit

A learner who successfully completes the course shall be able to:

- 4.5.1. Plan and organize all hazards and risks of an audit including document reviews and conformance evaluation activities.
- 4.5.2. Explain the purpose and significance of the audit scope, the importance of team competency and the selection of team members, particularly with regard to knowledge of the relevant industry, regulations and legislation.
- 4.5.3. Explain the structure and content of the auditee's Quality management system; and the audit plan.
- 4.5.4. Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 4.5.5. Explain the purpose of pre-audit visits and how to evaluate the desirability or need for such visits.
- 4.5.6. Explain the use benefits and potential limitations of a checklist.

- 4.5.7. Identify the pre-audit information required to effectively plan the duration and the resources required to conduct an audit.
- 4.5.8. Produce tailored checklists for use during an audit.
- 4.5.9. Identify considerations for planning an audit of an activity for which there are no documented procedures.

4.6. Performing the Audit

A learner who successfully completes the course shall be able to:

- 4.6.1. Explain how to approach a Stage 2 process audit, including audit of process inputs, outputs and results of the process in terms of outcomes and explain how process measures, quality objectives and continual improvement would be addressed through such an audit.
Demonstrate the ability to:
 - Control meetings, interviews etc.
 - Use a checklist effectively and follow audit trails
 - Gain an understanding of the process, including its purpose, inputs, outputs, controls and related quality objectives
 - Build rapport with the auditee
 - Question
 - Listen
 - Make notes
 - Search documents
 - Select sufficient and relevant samples
 - Provide feedback to the auditee
 - Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
 - Make sense of the information gathered in the context of ISO 9001.
- 4.6.2. Evaluate an organisation's effective implementation of procedures and methodologies to conform to ISO 9001 with emphasis on the following three features.
 - a) Elements of an organisation's QMS including policy and procedures, records showing relevant legal and other requirements to which the organization subscribes which relate to its environmental aspects, Quality aspects and significant impacts, objectives, targets and programs for achieving continual improvement.
 - b) Quality aspects and methodologies for establishing significant impacts, management controls over operations and monitoring of performance.
 - c) The rationale for setting priorities, objectives and targets for management programs to ensure that actions are taken to achieve planned improvements;
- 4.6.3. Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011 and ISO/IEC 17021.
- 4.6.4. Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- 4.6.5. Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 4.6.6. Take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 4.6.7. Explain the typical role of top management in an audit and suggest approaches for auditing top management commitment.
- 4.6.8. Explain the benefits and risks of sampling in audits.
- 4.6.9. Collect and analyze evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.

4.7. Reporting and Following Up the Audit

A learner who successfully completes the course shall be able to:

- 4.7.1. Summarize and record the results of an audit and demonstrate the ability to produce concise reports.
- 4.7.2. Recognize and report positive audit findings.
- 4.7.3. Evaluate objective evidence gathered and correctly identify conformance and non-conformance with requirements.
- 4.7.4. Write nonconformity reports based on objective evidence obtained during the course of the audit.
- 4.7.5. Describe typical system for grading non-conformity reports and the implications and further actions required for different grades of nonconformity.
- 4.7.6. Identify opportunities for improvement.
- 4.7.7. Identify types of objective evidence that may be required to demonstrate effective implantation of corrective and preventive action.
- 4.7.8. Evaluate proposals for corrective and preventive actions proposed in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.
- 4.7.9. Make recommendations on the acceptability of a management system for certification / supplier approval based on objective evidence obtained during the audit.
- 4.7.10. Present audit findings and recommendations to the auditee.
- 4.7.11. Explain the purpose of ongoing surveillances and audits.

The TCP may develop more detailed learning objectives, as appropriate.

Learners' achievement of the learning objectives shall be measured and recorded by the TCP.

5. COURSE CONTENT

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

The course content shall cover:

- 5.1.1. All aspects defined under Learning Objectives; and
- 5.1.2. Local requirements, culture, practice or approaches to auditing and the application of ISO 9001 as appropriate.

6. OTHER

All other requirements - same as generic TCP requirements for Lead Auditor courses

END OF QMS SCHEME CRITERIA

ANNEX 4: SCHEME TCP REQUIREMENTS - ENVIRONMENTAL MANAGEMENT SYSTEM

1. INTRODUCTION

The SAATCA Environmental auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing Occupational Health & Safety and of audit team management, as described in ISO 19011 and ISO/IEC 17021.

The primary focus of the training course shall be on training learners to audit Occupational Health & Safety based on the ISO 14001 standard, or recognized national and international equivalents, and applicable legal requirements relevant to environmental aspects.

The TCP shall:

- a) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- b) encourage learners to critically analyze their own performance as a means for developing effective auditor skills.

2. GENERAL

These criteria are intended for use by auditor training approval bodies (SAATCA) and auditor training course providers (TCP's) for an Environmental Management System Auditor training course

3. PRIOR KNOWLEDGE REQUIREMENT

Refer section 8 (8.1.2)

4. LEARNING OUTCOMES

4.1. General

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the flowing paragraphs.

4.2. Knowledge and application

- 4.2.1 Describe the purpose of an Environmental management system in controlling Environmental aspects and impacts and to evaluate whether all the significant impacts and aspects have indeed been identified.
- 4.2.2 Understand and be able to audit objectives and targets and the 14001 intent.
- 4.2.3 Describe background and general Environmental issues, the concepts of Environmental risk management and sustainable development and strategic business drivers.
- 4.2.4 Describe the role of applicable legal requirements and other requirements to which the auditee subscribes which relate to its environmental aspects.

4.3. Standards

A learner who successfully completes the course shall be able to:

- 4.3.1 Explain the purpose and intent of ISO 14001 and how it relates to the other ISO 14000 series documents, including available guidance on the application of the elements of ISO 14001.
- 4.3.2 Understand the background to development of the Environmental management system standards and the current status of the ISO 14000 series.
- 4.3.3 Explain the requirements of the current version of the ISO 14001 and identify the objective evidence needed to show conformance and effectiveness of the entire Environmental management system.
- 4.3.4 Describe the ongoing process of change in the ISO standards, the impact that changes in the ISO 14001 and ISO 19011 or ISO/IEC 17021 standards may have on the audit process, and the need for auditors to keep up to date.

- 4.3.5 Differentiate between documentation, and records.
- 4.3.6 Evaluate the differing needs for documentation in a variety of situations.

4.4. Legal and Other Requirements

A learner who successfully completes the course shall be able to:

- 4.4.1 Describe the difference between legal compliance and conformance with the ISO 14001 standard, and the significance of these terms when conducting audits.
- 4.4.2 Be able to understand and audit the legal and any other requirements to which the organization subscribes which relate to its environmental aspects, including verification of the adequacy of implementation thereof, e.g. rulings, applications, etc.
- 4.4.3 Be able to understand and audit the impact of changes in legal and other requirements related to environmental aspects of the auditee.
- 4.4.4 Ability to reference to key Environmental legislation relevant to environmental aspects, adverse or beneficial, including, pollution control via emissions to air, discharges to water and disposal to land, including control over hazardous substances, resource usage, fauna and flora and biodiversity. This should include an overview of relevant international Environmental treaties and agreements.

4.5. Audit Process and Responsibilities

A learner who successfully completes the course shall be able to:

- 4.5.1 Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies, involved in certification / registration ISO 14001.
- 4.5.2 Describe the EMS audit process and auditing principles, methodology and good practice as described in ISO 19011 and ISO/IEC 17021.
- 4.5.3 Describe the International Accreditation Forum interpretations and guidelines for 3rd party certification bodies (registrars).
- 4.5.4 Describe the function of first, second, and third party audits, the similarities and differences, and the varying role of the auditor, the auditee and the client in the audit of each of these.
- 4.5.5 Describe the different types of Environmental audits and assessments and relevant terminology as applicable to ISO 19011 and ISO/IEC 17021.
- 4.5.6 Explain the need for confidentiality during all phases of the audit process.
- 4.5.7 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 4.5.8 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 4.5.9 Summarize the SAATCA Criteria for Certification of Environmental Management System Auditors, national and other auditor certification programs, and the international recognition of SAATCA certifications.
- 4.5.10 Explain the SAATCA Auditors' Code of Conduct.

4.6. Planning the Audit

A learner who successfully completes the course shall be able to:

- 4.6.1 Plan and organize all aspects of an audit including document reviews and conformance evaluation activities.
- 4.6.2 Explain the importance of scope in relation to: the accreditation of registrars / certification bodies.
- 4.6.3 Explain the structure and content of the auditee's Environmental management system; and the audit plan.

- 4.6.4 Select audit team members, their interrelationships, particularly with regard to the understanding of applicable Environmental standards.
- 4.6.5 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 4.6.6 Explain the purpose of pre-audit visits and how to evaluate the desirability or need for such visits.
- 4.6.7 Identify the pre-audit information required to effectively plan the duration and the resources required to conduct an audit.
- 4.6.8 Produce tailored checklists for use during an audit.
- 4.6.9 Explain the benefits and risks of the use of checklists during the audits.

4.7. Performing the Audit

A learner who successfully completes the course shall be able to:

- 4.7.1 Evaluate an organisation's effective implementation of procedures and methodologies to conform with ISO 14001 with emphasis on the following three features.
 - a) Elements of an organisation's EMS including policy and procedures, records showing relevant legal and other requirements to which the organization subscribes which relate to its environmental aspects, Environmental aspects and significant impacts, objectives, targets and programs for achieving continual improvement and prevention of pollution.
 - b) Environmental aspects and methodologies for establishing significant impacts, management controls over operations and monitoring of performance.
 - c) The rationale for setting priorities, objectives and targets for management programs to ensure that actions are taken to achieve planned improvements;
- 4.7.2 Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011 and ISO/IEC 17021.
- 4.7.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- 4.7.4 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 4.7.5 Take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 4.7.6 Explain the benefits and risks of sampling in audits.
- 4.7.7 Collect and analyze evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.

4.8. Reporting and Following Up the Audit

A learner who successfully completes the course shall be able to:

- 4.8.1 Summarize and record the results of an audit and demonstrate the ability to produce concise reports.
- 4.8.2 Evaluate the significance of nonconformities recorded during the audit and classify them in accordance with the systems defined by the manager of the audit program. (The interpretations taught during the training program shall be acceptable for this evaluation.)
- 4.8.3 Write nonconformity reports based on objective evidence obtained during the course of the audit.
- 4.8.4 Evaluate proposals for corrective and preventive actions proposed in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

- 4.8.5 Make recommendations on the acceptability of a management system for certification / registration based on objective evidence obtained during the audit.
- 4.8.6 Explain the purpose of ongoing surveillances and audits

The TCP may develop more detailed learning objectives, as appropriate.

Learners' achievement of the learning objectives shall be measured and recorded by the TCP.

5. COURSE CONTENT

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

5.1. The course content shall cover:

- 5.1.1 All aspects defined under Learning Objectives; and
- 5.1.2 Local requirements, culture, practice or approaches to auditing and the application of ISO 14001 as appropriate.

6. OTHER

All other requirements - same as generic TCP requirements for Lead Auditor courses

END OF EMS CRITERIA

ANNEX 5: SCHEME TCP REQUIREMENTS – FOOD SAFETY

ANNEX 6: SCHEME TCP REQUIREMENTS - OCCUPATIONAL HEALTH AND SAFETY

1. INTRODUCTION

The SAATCA Occupational Health & Safety auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing Occupational Health & Safety and of audit team management, as described in ISO 19011 and ISO/IEC 17021.

The primary focus of the training course shall be on training learners to audit Occupational Health & Safety based on the OHSAS 18001 standard, or recognized national and international equivalents, and applicable legal requirements relevant to environmental aspects.

The TCP shall:

- c) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- d) encourage learners to critically analyze their own performance as a means for developing effective auditor skills.

2. GENERAL

These criteria are intended for use by auditor training approval bodies (SAATCA) and auditor training course providers (TCP's) for an Occupational Health and Safety Auditor training course

3. PRIOR KNOWLEDGE REQUIREMENT

Refer section 8 (8.1.2)

4. LEARNING OUTCOMES

4.1. General

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the flowing paragraphs.

4.2. Knowledge and application

- 4.2.1 Describe the purpose of an Occupational Health and Safety in managing Occupational Health & Safety hazards work activities to evaluate whether all the significant risks have indeed been identified and mitigated
- 4.2.2 Describe the components/clauses supporting Occupational Health & Safety management system standards (OHSAS 18001) (i.e. the effective implementation and continual improvement of Occupational Health & Safety management systems, and the anticipation and prevention of circumstances that may result in injury or ill health).
- 4.2.3 Describe the principles; processes and techniques used for the assessment of risks and the significance of these in Occupational Health & Safety Management Systems Describe background and general Occupational Health & Safety issues, the concepts of Occupational Health & Safety risk management and sustainable development and strategic business drivers.
- 4.2.4 Understand and be able to audit objectives and targets and the Occupational Health & Safety Management intent.
- 4.2.5 Describe background and general Occupational Health & Safety issues, the concepts of Occupational Health & Safety risk management and sustainable development.
- 4.2.6 Understand the different risk assessment tools and techniques applicable to that environment. .
- 4.2.7 The responsibility and accountability for Occupational Health & Safety within the organizational structure.
- 4.2.8 Tools and techniques for measuring the performance of the Occupational Health & Safety management system, including audit and incident investigation.

- 4.2.9 Continuous improvement of the Occupational Health & Safety management system, based on the PDCA (Plan, Do, Check, Act) cycle.

4.3. Standards

A learner who successfully completes the course shall be able to:

- 4.3.1 Explain the purpose and intent of OHSAS18001 and how it relates to the other **ISO 14000** series documents, including available guidance on the application of the elements of OHSAS18001
- 4.3.2 Understand the background to development of the Environmental management system standards and the current status of the **OHSAS18000** series.
- 4.3.3 Explain the requirements of the current version of the OHSAS18001 and identify the objective evidence needed to show conformance and effectiveness of the entire Occupational Health and Safety management system.
- 4.3.4 Describe the ongoing process of change in the standards, the impact that changes in the OHSAS18001 and ISO 19011 or ISO/IEC 17021 standards may have on the audit process, and the need for auditors to keep up to date.
- 4.3.5 Differentiate between documentation, and records.
- 4.3.6 Evaluate the differing needs for documentation in a variety of situations.

4.4. Legal and Other Requirements

A learner who successfully completes the course shall be able to:

- 4.4.1 Describe the role of applicable legal and other requirements to which the auditee subscribes which relate to its Occupational Health & Safety hazards and risks.
- 4.4.2 Briefly describe the development of relevant OHS legislation, based on risk management.
- 4.4.3 Be able to understand and audit the legal and any other requirements to which the organization subscribes which relate to its Occupational Health and Safety aspects, including verification of the adequacy of implementation thereof, e.g. rulings, applications, etc.
- 4.4.4 Be able to understand and audit the impact of changes in legal and other requirements related to Occupational Health and Safety aspects of the auditee.
- 4.4.5 Ability to reference the key Occupational Health and Safety legislation relevant to environmental aspects, adverse or beneficial, including, pollution control via emissions to air, discharges to water and disposal to land, including control over hazardous substances, resource usage, fauna and flora and biodiversity. This should include an overview of relevant international Environmental treaties and agreements.

4.5. Audit Process and Responsibilities

A learner who successfully completes the course shall be able to:

- 4.5.1 Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies, involved in certification / registration OHSAS 18001.
- 4.5.2 Describe the OHSAS 18001 audit process and auditing principles, methodology and good practice as described in ISO 19011 and ISO/IEC 17021.
- 4.5.3 Describe the International Accreditation Forum interpretations and guidelines for 3rd party certification bodies (registrars).
- 4.5.4 Describe the function of first, second, and third party audits, the similarities and differences, and the varying role of the auditor, the auditee and the client in the audit of each of these.
- 4.5.5 Explain the need for confidentiality during all phases of the audit process.
- 4.5.6 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.

- 4.5.7 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 4.5.8 Summarize the SAATCA Criteria for Certification of Occupational Health and Safety Auditors, national and other auditor certification programs, and the international recognition of SAATCA certifications.
- 4.5.9 Explain the SAATCA Auditors' Code of Conduct.

4.6. Planning the Audit

A learner who successfully completes the course shall be able to:

- 4.6.1 Plan and organize all aspects of an audit including document reviews and conformance evaluation activities.
- 4.6.2 Explain the importance of scope in relation to: the accreditation of registrars / certification bodies.
- 4.6.3 Explain the structure and content of the Occupational Health and Safety and the audit plan.
- 4.6.4 Select audit team members, their interrelationships, particularly with regard to the understanding of applicable Occupational Health and Safety standards and legislation.
- 4.6.5 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 4.6.6 Explain the purpose of pre-audit visits and how to evaluate the desirability or need for such visits.
- 4.6.7 Identify the pre-audit information required to effectively plan the duration and the resources required to conduct an audit.
- 4.6.8 Produce tailored checklists for use during an audit.
- 4.6.9 Explain the benefits and risks of the use of checklists during the audits.

4.7. Performing the Audit

A learner who successfully completes the course shall be able to:

- 4.7.1 Interpret and apply the requirements of Occupational Health & Safety standards. Delegates shall demonstrate an ability to audit the following key areas such as:
 - a) An organisation's identification of risk and the development of risk management controls.
 - b) Methods for the identification of appropriate national/ local/international Occupational Health & Safety legislation and the procedures for ensuring full implementation and compliance.
 - c) Conformance of an organisation's Occupational Health & Safety management system against the relevant Occupational Health & Safety management system requirements.
- 4.7.2 Evaluate an organisation's effective implementation of procedures and methodologies to conform with OHSAS 18001 with emphasis on the following features.
 - a) Elements of an organisation's records including policy and procedures, showing relevant legal and other requirements to which the organization subscribes which relate to its Occupational Health and Safety aspects, methods for the development and implementation of emergency response and preparedness plans.
 - b) statutory and regulatory requirements for OHS management systems and conformance and compliance against these requirements
 - c) Occupational Health & Safety policies with respect to the Health & Safety obligations to employees and persons affected by the activities of the environment.
 - d) The rationale for setting priorities, objectives and targets for management programs to ensure that actions are taken to achieve planned improvements;
- 4.7.3 Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011 and ISO/IEC 17021.

- 4.7.4 Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- 4.7.5 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 4.7.6 Take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 4.7.7 Explain the benefits and risks of sampling in audits.
- 4.7.8 Collect and analyze evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.

4.8. Reporting and Following Up the Audit

A learner who successfully completes the course shall be able to:

- 4.8.1 Summarize and record the results of an audit and demonstrate the ability to produce concise reports.
- 4.8.2 Evaluate the significance of nonconformities recorded during the audit and classify them in accordance with the systems defined by the manager of the audit program. (The interpretations taught during the training program shall be acceptable for this evaluation.)
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- 4.8.4 Evaluate proposals for corrective and preventive actions proposed in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.
- 4.8.5 Make recommendations on the acceptability of a management system for certification / registration based on objective evidence obtained during the audit.
- 4.8.6 Explain the purpose of ongoing surveillances and audits

The TCP may develop more detailed learning objectives, as appropriate.

Learners' achievement of the learning objectives shall be measured and recorded by the TCP.

5. COURSE CONTENT

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

5.1. The course content shall cover:

- 5.1.1 All aspects defined under Learning Objectives; and
- 5.1.2 Local requirements, culture, practice or approaches to auditing and the application of OHSAS 18001 as appropriate.

6. OTHER

All other requirements - same as generic TCP requirements for Lead Auditor courses

END OF OHSAS CRITERIA

ANNEX 7: SCHEME SPECIFIC TCP REQUIREMENTS – PRODUCT

ANNEX 8: SCHEME SPECIFIC TCP REQUIREMENTS – OTHER (Under review)

Re-Processors of Previously Registered Containers

Integrated Management System Auditor

Road Transportation Auditor

Data Quality Management System Auditor