

CONTINUOUS PROFESSIONAL DEVELOPMENT (CPD) POLICY

SUMMARY: This defined as a framework that encourages continuous updating of professional knowledge, personal skills and competencies.

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APPROVAL PAGE



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AMENDMENT HISTORY

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| REV 1 | 02 DECEMBER 2013 | History | | C Holm |
| REV 2 | 10 JUNE 2017 | Minor changes | DC 10171 | N Ramdunee |



1. Introduction

Continuous Professional Development (CPD) is defined as a framework that encourages continuous updating of professional knowledge, personal skills and competencies. The purpose of CPD is to improve the effectiveness as an auditor, and to make the auditing profession more credible. The concept of CPD, and the value it contributes, is now recognized and accepted throughout all professional fields.

2. Requirements

It is required by SAATCA's 3 year re-certification that an auditor must demonstrate to have completed at least 45 hours CPD within the last 3 year in subjects that are related to auditing, management systems and legislation, including regulatory and statutory requirements applicable within the specific scheme in which re-certification is sought.

Due to the numerous topics and/or activities that enhance (auditing) competence, no attempt is made to list them entirely. However, as a guide there are four basic categories, which are consistent within the SAATCA Auditor certification schemes where CPD may be claimed, these being (*please note this list is not exhaustive*).

| Categories | Hour requirement 45 hours made up as follows |
|--|---|
| 1. Scheme specific legislative requirements as per scheme criteria | 8 Hours plus |
| 2. Generic legislative requirements. | 37 hours specific to the scheme application |
| 3. Technological innovations, changes in methodologies, approaches etc., relevant to industry /discipline in which the audits are conducted | |
| 4. Managerial / business related changes relevant to industry in which the audits are conducted. | |
| 5. Audit standards (ISO19011 and ISO/IEC 17021) related topics (new methodology and approaches etc.). | Or 20 hours specific to the scheme application plus 17 hours generic to any scheme |
| 6. Management System related topics. (i.e. standards for the specific scheme - Quality, Environment, OHSAS, Food Safety, Information Security, etc.) | |

SAATCA will accept CPD acquired in activities that range from the very informal (e.g. reading and self-study) to the formal (e.g. classroom training). To balance the range / activity ratio a "weighting" is applied where some activities are accorded more recognition than others.



The range / activities ratio consists of 3 broad categories:

Unstructured; where 3 hours are accepted as 1 CPD hour.

Included in this category would be:

- distance and e-learning study (*which is not assessed and does not lead to a qualification*)
- reading of professional and technical journals books and other publications

****Unstructured CPD cannot constitute more than 1/3 (i.e. 15 hours/ year) of the total (45 hours/ 3year cycle) acceptable CPD hours***

Semi-structured; where 2 hours are accepted as 1 CPD hour.

Included in this category would be:

- non-interactive lectures, talks, etc
- professional body meetings
- formal networking and benchmarking opportunities
- on-the-job training
- participation in management and technical committees

Structured; where each 1 hour is accepted as 1 CPD hour.

Included in this category would be:

- topic related seminars and conventions
- publishing articles
- active participation in development of MS standards.
- outcomes based training with assessment
- distance learning that involves assessment
- development of a first lectures/course/paper per sector
- structured research with publication

The range of activities that may be included within each category is extensive and the above examples are intended to provide broad guidance only. CPD evidence of activities may include all 3 categories; however, this is not a requirement.

The responsibility rest with the Auditor to provide a case for acceptance of any submitted CPD activity which must be supported by sufficient and appropriate evidence. It is the auditor's responsibility to keep accurate records of CPD activities and have the activities verified.

Examples of verification are:

- Copies of certificates,
- Attendance registers
- Meeting confirmation – Agenda, e-mail

**Generic legislative requirements.**

Legislative requirements, including regulatory and statutory generic or general business related requirements, where applicable within the scope of operations of the auditor.

Some examples are, but not limited to:

- Labour law
- Commercial law
- Consumer protection law
- Promotion of Access to Information Act (PAIA)
- Promotion of Administrative Justice Act (PAJA)
- Protection of Personal Information Act (POPI)

The competence required is not intended to be sufficient to enable the applicant to conduct legislative compliance audits. Knowledge of and skills to judge whether a Management System has been established, is being implemented, maintained and improved in line with the general principles and dictates of applicable law