

## **PROCESS FOR AUDITOR ENQUIRIES, APPLICATION, EVALUATION AND CERTIFICATION**


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**SUMMARY:** This procedure describes the method used for receiving and processing enquiries, applications, evaluation and certification

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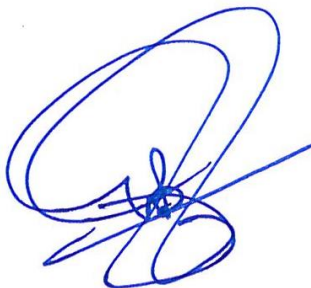
**APPROVAL PAGE**



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**19 SEPTEMBER 2020**

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DATE

**AMENDMENT HISTORY**

Doc Revision	Approved Date	Amendments	Doc change No.	Conformance	
				Name	Initials
REV 0-6		History			
REV 7		Added revision table & update flow diagram	DC 10130	Happy	H
REV 8		Major changes: S/S ARP 2.1 & ARP 2.2 Procedure name updated,	DC 10130	Happy	H
REV 9	10 June 2017	Include the requirement with ISO 17024; change Secretary to Data & Filing Clerk.	DC 10144	Happy	H
REV 11	11 May 2019	Minor changes: Data Clerk to Administrator, Operations to Certification	DC10185	Olga	MO
REV 12	31 July 2019	Minor changes: to include recommendations from SANAS.	DC10201	Olga	MO
REV 13	04 May 2020	Minor changes to mitigate the risk of Covid-19	DC10203	Olga	MO
REV 14	19 September 2020	Minor changes	DC10264	Olga	MO

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## 1. PURPOSE AND SCOPE

This procedure describes the method used for receiving and processing enquiries, applications, evaluation and certification for the different application types, to ensure a consistent standard is applied.

The different application types within the SAATCA procedure are as follow:

- a. Applications for initial certification
- b. Upgrades and/or extension of scope and/or sector
- c. Re-registration,
- d. Re-certification

## 2. DOCUMENTS

### 2.1. Applicable Documents

- ISO 17024:2012           Conformity assessment – General requirements for bodies operating certification of persons.
- ARP 2.7                 Renewal, Suspension and Withdrawal of Registration
- SF79                    Application for Certification
- SF18                    Application for Re-certification
- SF73                    Application for Upgrade and Extension of Scope and/or Sector
- SF72                    Auditee feedback report
- SF05/F05a             Auditor Certification Requirements Checklist
- SF29                    Auditor code of conduct
- SF26                    Audit log
- SF45                    Auditor Performance Report
- SF06/SF06a            Auditor Re-certification Requirements
- SF103                  Client information update sheet
- SF51                    Code of conduct Sponsor
- SF52                    Code of conduct Witnessing Lead Auditors
- SF27                    CPD Logs
- ACR 5.1                Evaluation Committee -
- SF 69                    Evaluation Protocol for examining auditor Competence -
- SF71a                  Scheme Registration Administration
- SF71b                  Scheme Registration Administration- Food Safety
- SF107                  Summary of Submissions and outcomes Annual Registration and 3 Yearly Re-Certification
- SF63                    SAATCA Fee structure
- PM 6.0                 SAATCA CPD Policy

### 2.2. Reference Documents

- ACR 5.1 - Evaluation Committee
- ISO 17024 - Conformity assessment – General requirements for bodies operating certification of persons.

### 3. RESPONSIBILITIES

The certification body shall be responsible for, shall retain authority for and shall not delegate its decisions relating to certification, including the granting, maintaining, recertifying, expanding and reducing the scope of the certification and suspending or withdrawing the certification.

The Certification Manager is responsible for managing the certification function.

The Certification Manager is responsible to maintain this procedure.

The Administrator is responsible for processing enquiries and applications.

The Administrator is responsible to monitor re-registrations and re-certifications according to the due date from the SAATCA Electronic Database.

The relevant Evaluators of the Evaluation Committee **or Technical Experts, is responsible to evaluate Auditor and Lead Auditor for new or upgrade application** in order to for them to recommend or reject the application.

**The Certification Manager is responsible for the evaluation, approval or rejection of provisional and internal auditor new application.**

**The Certification Manager is responsible for the evaluation, approval or rejection of re-registration and re-certification for the auditors.**

The Certification Manager is responsible to ensure that a fair and unbiased review was carried out and that the evidence is available to substantiate the decision and to review the recommendation and make the final certification decision.

An Interview Sub-Committee shall be appointed to carry out an interview with the applicant when deemed necessary by the Evaluation Committee **or Technical Expert.**

The Certification Manager will ensure that all members of the Evaluation Committee are suitably trained and experienced – refer to the ACR 5.1 - Evaluation Committee.

### 4. PROCEDURE

Registered Auditors shall inform the SAATCA Certification Manager in writing or via E-mail of any change(s) to their terms of registration that may affect their compliance to SAATCA Criteria.

SAATCA will inform all stakeholders and current certificated auditors of changes in criteria via the e-mail system.

Changes to criteria will also be published on the SAATCA website.

#### 4.1. Receipt of enquiry

On receipt of a request from a candidate auditor, the Administrator will despatch a data pack depending on the type of application. The data pack will consist of the following:

##### 4.1.1. New Applications

a. Application for certification - SF 79	b. Code of conduct Sponsor – SF51
c. Application form for sectors SF149 (if applicable)	d. Code of conduct witnessing LA - SF52
e. Auditee feedback report - SF72	f. CPD log – SF27
g. Auditor code of conduct - SF29	h. Auditor log – SF26
i. Auditor Performance Report – SF 45	j. Relevant Registration Scheme Criteria – refer to CRT reference

k. Auditor Certification Requirements Checklist – SF05/05a as applicable	l. SAATCA Fee structure - SF63
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The communication will also include the requirement for additional submissions; updated CV, certified ID, Certified Training Certificates

#### 4.1.2. Annual re-registrations

a. Client information update sheet SF103 (When applicable)	b. SAATCA CPD log SF 27 (optional)
c. SAATCA Audit log SF26	d. Any additional information that is required for transition to current criteria
e. SAATCA Letter – Annual and 3 Yearly requirements SF107	

#### 4.1.3. 3 Yearly Re-certifications

a. Application for Re-certification - SF 18	b. CPD log – SF27
c. Auditor code of conduct - SF29	d. CPD Guidelines – PM 6.0
e. Auditee feedback report - SF72	f. SAATCA Letter - Annual and 3 Year requirements SF107
g. Auditor log – SF26	h. Auditor Certification Requirements Checklist – SF06/06a as applicable
i. Application form sectors – SF149 (If applicable)	

The communication will also include the requirement for the following additional submissions:

- Updated CV, Certified ID (if no ID is available on file), Certified Training Certificates (if applicable)
- Any additional information that was identified as a gap during full file reviews required for transition to current criteria.

#### 4.1.4. Upgrades and Extension of Scope

a. Application form - SF 73	b. CPD log – SF27
c. Application form sectors - SF149 (If applicable)	d. CPD Guidelines – PM 6.0
e. Auditor code of conduct - SF29	f. SAATCA Letter - Annual and 3 Year requirements SF107
g. Auditee feedback report - SF72	h. Auditor Certification Requirements Checklist – SF05/05a as applicable
i. Auditor log – SF26	

The communication will also include the requirement for the following additional submissions:

- Updated CV, Certified ID (if no ID is available on file), Certified Training Certificates (as applicable)
- Any additional information that is required for transition to current criteria

## **4.2. The Certification Cycle**

The certification cycle is for 3 years but will not exceed 3, 5 years. The certification cycle shall include:

- Annual Re-registration (as the surveillance activity)
- 3 Yearly Re-certification

### **4.2.1. Annual Re-registration**

- a. Annual Re-registration will take place every 12 months but will not exceed 18 months.
- b. Invoices for all annual registration fees will be issued in December and payment will be required by the end of February
- c. The Administrator will send an Annual Re-registration notification to each SAATCA certificated Auditor, usually 90 days before the anniversary date of the certification.
- d. The procedure for the review and approval of annual Re-registration applications is detailed below in 4.4
- e. The Administrator will monitor the progress of re-registrations and take action when activities do not conform to scheduled dates.
- f. Should the annual re-registration documentation not be received within the 18 month period, a reminder will be sent to the certificated auditor, **via email**. The reminder will include all the documentation required for re-registration as well as a notification that the registration documentation should be received within 30 days to avoid suspension.
- g. Should the re-registration documentation not be received within the 30 day period mentioned above, the suspension and withdrawal procedure will be followed. (Refer- ARP 2 7 Renewal Suspension and Withdrawal of Auditor Registration)
- h. Suspension and Withdrawal includes the removal of the member names from the SAATCA website and the update of the database to make the auditor inactive. The individual member file will be moved to the inactive auditors filing space.
- i. The SAATCA Auditors database will be updated as well as the SAATCA website.
- j. To be reinstated as a SAATCA registered Auditor before the 3 year re-certification becomes due, all outstanding fees must be paid and all outstanding documentation for annual registration must be received.
- k. If the 3 year re-certification due date was exceeded, the application will be treated as new application, unless all the outstanding fees are paid up to date and all required evidence for the lapsed period is submitted for evaluation. The lapsed period in this case, shall not be longer than 2 years since the recertification anniversary date. Where the lapsed period exceeds 2 years since the recertification anniversary date, such applications will be treated as new applications.

### **4.2.2. Three (3) Year Re-Certification**

- a. 3 Yearly Re-Certification will take place every 3 year but will not exceed 3.5 years
- b. Re-certification on a three (3) year cycle is required of each Auditor in each registered grade per scheme.
- c. The database/spreadsheet will notify the Administrator of all re-certifications, 90 days prior to expiry date of the certification.
- d. The Administrator will forward the reminder to the certificated auditor and will include all the documentation required for re-certification according to the specific scheme criteria. The notification will include all transition requirements.
- e. The procedure for the review and approval of Re-Certification applications is detailed below in 4.4.



- f. Should the 3 yearly documentation not be received within the required period, a reminder will be send to the certificated auditor, via email. The reminder will include all the documentation required for re-certification as well as a notification that the documentation should be received within 30 days to avoid suspension.
- g. Should the recertification documentation not be received within the 30 day period mentioned above, the suspension and withdrawal procedure will be followed. (Refer- ARP 2 7 Renewal Suspension and Withdrawal of Auditor Registration)
- h. Suspension and Withdrawal includes the removal of the member names from the SAATCA website and the update of the database to make the auditor inactive. The individual member file will be moved to the inactive auditors filing space.
- i. To be reinstated as a SAATCA registered Auditor after the 3 year re-certification becomes due, all outstanding fees must be paid and all outstanding documentation for re-certification must be received.
- j. If the 3 year re-certification due date was exceeded, the application will be treated as new application, unless all the outstanding fees are paid up to date and all required evidence for the lapsed period is submitted for evaluation. The lapsed period in this case, shall not be longer than 2 years since the re-certification anniversary date. Where the lapsed period exceeds 2 years since the re-certification anniversary date, such applications will be treated as new applications.

### **4.3. The Evaluation Process**

#### **4.3.1. Review of Applications**

The accuracy of the information supplied shall, where necessary, be verified by means of telephonic conversations, interviews or any other appropriate means from sources the identified in the application

The review process includes different levels of review.

##### **4.3.1.1. Administrative Review - all application types excluding annual Re-registration.**

- a. On receipt of the application data pack, the Administrator will capture the details of the application on the SAATCA electronic database. An electronic request will be forwarded to the financial department to issue and invoice according to the type of application, to the applicant.
- b. The Administrator will review the content of the submitted documents for conformance with the requirements of the relevant auditor registration scheme (See SF05/SF06), and against the checklist, - Scheme Registration Administration (SF71). The Checklist will be updated according to the documents received
- c. The applicant will be informed via e-mail, of any missing or incomplete information that is required to be submitted for the type of application (eg. Initial, re-registration, etc). All communication will be send via the SAATCA electronic database to keep an electronic record of the status of the application.
- d. In the case of a new application, the Administrator will open a dedicated file for the applicant **only once the new applicant has paid the required application fee to cover the administrative costs of the new application.**
- e. **Once the Administrator is satisfied that all required documentation and proof of payment has been received, the file will be forwarded to the Certification Manager for the final administrative review.**
- f. The Certification Manager will notify the Administrator of any gaps identified during the review. The Administrator will inform the applicant via the SAATCA email, of any additional information that is required to be submitted.
- g. On confirmation from the Certification Manager that the file is ready for evaluation, the Administrator will forward an e-mail (via the electronic database) to the applicant that the application has been admitted to the certification process. (Ready for evaluation committee)

#### **4.3.1.2 Administrative Review – annual Re- Registrations**

- a. On receipt of the required surveillance documentation, the Administrator will capture the details of the application on the SAATCA electronic database.
- b. The Administrator will review the content of the submitted documents for conformance with the annual surveillance requirements as specified in the specific SAATCA auditor registration criteria and against the checklist, - Scheme Registration Administration (SF71). SF 71 will be updated according to the documents received.
- c. The applicant will be informed via e-mail, of any missing or incomplete information that is required to be submitted. All communication will be send via the SAATCA electronic database to keep an electronic record of the status of the application.
- d. Once the Administrator is satisfied that all required documentation and proof of payment has been received, the file will be forwarded to the Certification Manager for the final review.
- e. The Certification Manager will review the content of the submitted documents for conformance with the Annual Surveillance requirements as specified in the specific SAATCA auditor registration criteria.
- f. The Certification Manager will notify the Administrator of any gaps identified during the review. The Administrator will inform the applicant via the SAATCA electronic database, of any additional information that is required to be submitted.
- g. On confirmation that there is enough evidence on file to proof that the auditor is still active in the field of auditing, the Certification Manager will sign the Auditor Certification Requirements Checklist – SF06 clearly indicating that the Re-registration is approved. Any additional requirements for Re-certification will be included on the SF06.
- h. The Certification Manager will forward the file to the Administrator for processing according to the administrative procedure after evaluation (4.2)

#### **4.3.1.3 Technical Review/Evaluation**

- a. The evaluation of the evidence contained in the application as well as all supporting documentary evidence relevant to the grade, scheme, scope or sector applied for, will be assessed for conformance with regard to education, qualification, training, experience and behaviours. The evaluation will be based on the Evaluation Protocol (SF69) the requirements of the specific scheme criteria and the evaluation checklist
- b. All evaluators are required to declare in writing, (on the SF05/SF06), any relationship with the applicant that may exists, and has the potential to risk to the integrity of the process, and specifically impartiality.
- c. The Evaluation Committee shall review each application either by working independently and resolving any differences; or by one reviewing the work of the other; or by working as a team.
- d. Audit experience gained within disciplines other that the scheme being applied for, will be accepted if the auditor has already been registered within the scheme where the experience was gained as follows:
  - New applications, 25%
  - Re-Registration and Re-certification applications 50%
- e. Auditor training must have been attended and successfully completed as relevant to the grade, scheme, scope or sector being applied for.
- f. Two Evaluation Committee members will convene to carry out the evaluation **for new and upgrade**, except in the case of a re-certification where only **Certification Manager** or one Evaluation Committee member is required.
- g. The Certification Manager will from time to time request blind evaluations as a way to validate the examination process and the certification criteria.

- h. The accuracy of the information supplied shall, where necessary, be verified by means of telephonic conversations, interviews or any other appropriate means from sources the identified in the application.
- i. The Certification Requirements SF05/SF06 shall be completed, by the evaluator/s. The Checklist shall clearly state the recommendation regarding the status of the application and will only be signed if the application has been approved. The SF05/SF06 will be available on the hard copy file as evidence of the evaluation process.
- j. An interview process may be initiated by the evaluation committee to confirm the competency of applicants in cases where documentary evidence is not sufficient. Minutes of the interview will be recorded and filed in the applicant's file.

#### **4.3.2. Final review and approval**

- a. The file will be submitted to the Certification Manager for review, to ensure that consistency is being applied and that the evaluated application is performed competently and free from bias regarding the applicant under review.
- b. The Certification Manager will ensure that the SF05/SF06 (Evaluation Checklist for certification) has been completed by the member/s of the relevant scheme, and that all the documentary evidence is available in the applicant's file.
- c. If there are any anomalies identified the file will be refer back to the Evaluation Committee, for re-evaluation
- d. The Certification Manager will sign the Certification Requirements checklist only if the file is approved and the process was followed.
- e. In case of certifies personnel under its employment e.g Certification Manager the final review is done by to evaluators.

#### **4.4. Administrative procedure –following evaluation.**

The Certification Manager will forward the file to the Administrator for processing as follows:

##### **4.4.1. Rejected applications**

- a. The Administrator will update the SAATCA electronic database with the reasons for the rejection and from the database generate an e-mail to the applicant clearly indicating the reason for the rejection including any request for additional information required.
- b. Applications waiting for additional information to be submitted will be retained for 12 months, pending submission of the required information, after which they may be destroyed.
- c. Once the Applicant has submitted the identified outstanding information the evaluation process is repeated.
- d. The Administrator will update the SAATCA electronic database with the following details when applicable:
  - Reasons for rejection
  - Date of the evaluation
  - Evaluators that completed the evaluation

##### **4.4.2. Approved applications**

- e. The Administrator will update the SAATCA electronic database with the following details when applicable:
  - a. Date of approval
  - b. Grade approved
  - c. Scheme approved
  - d. Evaluators that completed the evaluation
  - e. Sector and Scope approved (where applicable)

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- f. In the case of new applications a request to issue an initial registration invoice will be forwarded to the financial department.
  - g. An approval notification will be issued electronically by the Administrator, and will include the details of the approval as described above. The notification will be verified by the Certification Manager for conformance to the certification decision, before communicated to the client.
  - h. The Administrator will, from the database, forward the approval notification and an invoice for initial registration (if applicable) to the applicant via e-mail
  - i. The Administrator will request a certificate and/or card on the electronic database.
  - j. The certificate will include the details of the certification as described above and will include the original registration date (if applicable) and the 3 yearly expiry date. **The expiry date will be aligned with the original registration date. Effective date is a date used to indicate the new approval of the certificate, re-certification and upgrade.**
  - k. The card will include the details of the certification as described above (a-d) and will include an expiry date that will align with the anniversary date of the certification.
  - l. Once a month (usually after an evaluation committee meeting) or as required, an electronic spread sheet for the printing of Certificates and/or Cards will be generated from the database/spreadsheet by the Certification Manager
  - m. The SAATCA website will also be updated by the Certification Manager as above or if there is a change in the status of any auditor's status.
  - n. Printed certificates and cards will be checked by the Administrator and verified by the Certification Manager for conformance to the certification decision.
  - o. Certificates will signed by the Chair of the Board.
  - p. The signed certificates and cards will be scanned to the electronic system and forward to the applicant via e-mail, (only if no fees are outstanding or if approved by the Certification Manager). Hard copies will be filed in the applicants file.
  - q. Original certificates and/or cards will be sent by mail (only if no fees are outstanding or if approved by the Certification Manager) to the designated postal address of the applicant, with a notification to the applicant that that the certificate and/or card have been posted. Originals can also be collected from the SAATCA office. The SAATCA electronic database will be updated accordingly e.g. posted/collected.

### **4.5. Appeals**

It shall be clearly stated at the SAATCA website that applicant have the right to an appeal if they do not agree with the outcome. Refer QSP 1 4 Complaints, Appeals, and disputes

## **5. DECISION ON CERTIFICATION**

- 5.1 The information gathered during the certification process shall be sufficient:
  - 5.1.1 for the certification body to make a decision on certification
  - 5.1.2 for traceability in the event for example of an appeal or a complaint.
- 5.2 Decisions for granting, maintaining, recertifying, extending, reducing, suspending or withdrawing certification shall be maintained by SAATCA and not be outsourced.

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- 5.3 The decision on certification shall be confine on certification to those matters specifically related to the requirements of the certification scheme.
- 5.4 The decision on certification of a candidate shall be made solely by SAATCA on the basis of the information gathered during certification process. Personnel who make the decision on certification shall not have participated in the examination or training of the candidate.
- 5.5 The personnel who make certification decisions shall have sufficient knowledge of and experience with the certification process to determine if the certification requirements have been met.
- 5.6 Certification shall not be granted until all certification requirements are fulfilled.
- 5.7 SAATCA shall provide a certificate to all certified persons and shall maintain sole ownership of the certificates. The certificate shall take the form of a letter, card or other medium, signed or authorized by the Chairman of the Board.

APPENDIX A

