


Management System Auditors Criteria

CRT 6.5 Occupational Health and Safety Management System Auditor

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INDEX

1. INTRODUCTION	3
1.1. Purpose	3
1.2. Definitions and Abbreviations	3
1.3. References	3
1.4. Equivalent Standards	3
1.5. "Start Up" Concession for New Schemes	4
1.6. SAATCA OHS Scheme Sectors	4
1.7. SAATCA Auditor Grades	4
1.7.1. Provisional Auditor (Also referred to as "in-training" in certain industry sectors)	4
1.7.2. Auditor Grade	4
1.7.3. Lead Auditor Grade	4
1.7.4. Internal Auditor Grade	4
1.8. Advancement to Another Grade	5
1.9. Suspension and Withdrawal of Certification - ARP 2.7	5
1.10. Complaints, Appeals and Disputes Process - QSP 1.4	5
1.11. Criteria for Auditor Transition in the Event of Substantial Changes to Criteria	5
1.12. Transfer of Certification - QSP 1.9	5
1.13. Use of the SAATCA Logo - SF 48	5
1.14. Notifiable Changes - SF 56	5
1.15. Publication of Details of SAATCA Registered Auditors	6
2. INITIAL APPLICATION REQUIREMENTS	9
2.1. Application Documents and Codes of Conduct	9
2.2. Personal Behaviours	9
2.3. Education	9
2.4. Work Experience	10
2.5. Knowledge and Skills	10
2.6. Training	13
2.7. Auditing Experience	14
2.8. Witnessing	16
2.9. Training Internal Auditor	16
3. MAINTAINING CERTIFICATION	19
3.1. Annual Surveillance, Card Re-issue and Fee for Maintenance	19
3.2. 3 Yearly Application for Re-Certification	19
3.3. Maintenance of Auditing Ability	19
3.4. Continual Professional Development (CPD)	20
3.5. Changes to these criteria and transition	21
4. REVISION HISTORY	21

1. INTRODUCTION

1.1. Purpose

This document describes the Occupational Health and Safety (OHS) Scheme criteria for SAATCA auditor certification, based on ISO45001:2018.

These criteria are intended to be used by:

1. Potential applicants to determine their suitability / readiness for making application for initial certification and for maintenance thereof and for ensuring they submit all necessary evidence and
2. The SAATCA Evaluation Committee to evaluate such applications

General note: The term “scheme” is equivalent to “discipline” as referenced in ISO 19011:2018.

1.2. Definitions and Abbreviations

For the purpose of these criteria, the terms and definitions in ISO 9000, ISO 19011:2018, ISO/IEC 17000, ISO/IEC 17021 and ISO/IEC 17024 apply

List of acronyms

OHSMS : Occupational Health and Safety

1.3. References

- ISO 19011:2018: Guidelines for auditing management systems
- ISO/IEC 17024:2012 Conformity Assessment – General Requirements for Bodies operating Certification of Persons
- ISO/IEC 17021-1:2015 Conformity assessment — Requirements for bodies providing audit and certification of management systems
- IAF Guidance on the Application of ISO/IEC 17024 Conformity assessment – General Requirements for Bodies operating Certification of Persons. (IAF GD 24)
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- References related to Auditing Sampling (ISAE3000, GHTF/SG4/N30R20)
- SAATCA Procedures and Criteria:
 - QSP 1.4, and 1.9
 - ARP 2.1 to 2.7
 - ACR 5.1
- SAATCA Forms/ documents - various, referenced as SF

Note: Unless otherwise specified, the standards referenced in this document are deemed to be the current editions. Any standard or legislative references relate to the current published version. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

1.4. Equivalent Standards

There is no equivalent standards for ISO 45001:2018

If a standard has not been approved as equivalent, the onus is on the applicant to provide sufficient evidence to justify its acceptance by the Scheme Committee and approval by the Technical Management Board.

1.5. "Start Up" Concession for New Schemes

When this was a new SAATCA scheme being launched, where there were not yet any qualifying Lead Auditors for witnessing or evaluation purposes, the Scheme Committees had the option to grant applicable "Start Up" based registrations.

Note: The Start Up clause is the expression used when a scheme has to start / be initiated, to enable the scheme to get off the ground. It is based on accepting the existing competence and experience of practitioners already in the relevant field, who were not yet able to fulfil those requirements that rely on the existence of Lead Auditors in the new scheme, because there were no such Lead Auditors at the time.

Concessionary approval may be granted by SAATCA with the proviso that a suitable portfolio of evidence is maintained to demonstrate conformance with these Scheme Specific "Start Up" criteria.

"Start Up" auditors shall comply with all the criteria except where deviations have been noted.

1.6. SAATCA OHS Scheme Sectors

- Not applicable for this scheme

1.7. SAATCA Auditor Grades

1.7.1. Provisional Auditor (Also referred to as "in-training" in certain industry sectors)

This grade is the entry or training grade. It recognizes an applicant to have the appropriate personal behaviours, educational, professional and technical competence but does not yet meet the criteria for auditing experience and demonstration of audit competence of the other grades. This grade is qualifications based, without competence evaluation.

This is not SANAS accredited grade of management system auditor.

Provisional Auditors will be given a yearly certificate that is renewable every year, stating the applicant's applicable scheme of registration and registration number, a yearly certificate will be issued formally but there will be no registration card issued.

This grade is a transition grade with the intention that, over time, Provisional Auditors progress to auditors once they meet the requirements.

No Provisional Auditor registered in terms of this grade may suggest or imply certification status as a management system auditor.

1.7.2. Auditor Grade

This grade recognizes the applicant as a competent Auditor, contributing as an effective member of an audit team. This grade applies typically to auditors who take part in audits as members of a team rather than audit team leaders.

Auditors shall be issued with Certificates and Auditor registration cards.

1.7.3. Lead Auditor Grade

The Lead Auditor grade is reserved for auditors who conform to the requirements of Auditor grade and who are competent and experienced at managing audits and leading audit teams. This grade applies typically to auditors who lead audits of more than one auditor.

Lead Auditors shall be issued with Certificates and Lead Auditor registration cards.

1.7.4. Internal Auditor Grade

This grade applies to applicants that conduct audits within and for or on behalf of organisations by whom they are employed, and may include supplier audits, provided they cover the full scope of the relevant management system.

It is not intended to imply that an Internal Auditor is less qualified than an Auditor, only that the application of the auditing practice is limited to one organisation. The same level of qualification and work experience is required as that of the Auditor grade.

Internal Auditor certification shall be granted in respect of the specific organisation for which internal audits are conducted.

Internal Auditors shall be issued with Certificates and Internal Auditor registration cards on which reference will be made to the organization where the internal audits are carried out and for which the Internal Auditor has been certified.

If a SAATCA certified Internal Auditor leaves the employment of the organisation for which internal auditor certification is held, his or her certification as a SAATCA certified internal auditor for that organisation is no longer valid. Should the auditor resume internal auditing at a different organisation, they would qualify to transfer their internal auditor certification, by making application relative to the new organisation. Alternatively, they could apply for full Auditor grade as they potentially satisfy the requirement for auditing multiple management systems.

Internal auditor is not recognised nor currently a SANAS accredited grade of management system auditors.

1.8. Advancement to Another Grade

Advancement to another certification grade can be attained at any time provided suitable competence and experience for that grade is gained.

Certificated auditors of any grade, who can demonstrate competence and are successfully evaluated against the applicable criteria required for another grade, shall qualify for advancement to such grade.

When applying for advancement from one grade to other applicants are required to complete the application form and submit the applicable evidence relevant to the new grade.

1.9. Suspension and Withdrawal of Certification - ARP 2.7

All suspensions and withdrawals of certification shall be managed in accordance with ARP 2.7

1.10. Complaints, Appeals and Disputes Process - QSP 1.4

All complaints, appeals and disputes shall be managed in accordance with QSP 1.4

1.11. Criteria for Auditor Transition in the Event of Substantial Changes to Criteria

In the event of any substantial changes to any of these auditor criteria e.g a management system standard changing, etc the Scheme Committee shall develop and publish a process for transition and the transition period (if any). The transition requirements shall be clearly specified and approved by the Technical Management Board. These shall be published (for example as an annex to these criteria, a communique, etc and communicated to registered auditors and applicants.

Transition timelines for these criteria:

For transition details, refer to the Maintenance Section of the Criteria Table

1.12. Transfer of Certification - QSP 1.9

All transfers of auditor certification from other auditor certification bodies shall be processed in accordance with QSP 1.9

1.13. Use of the SAATCA Logo - SF 48

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

1.14. Notifiable Changes - SF 56

By signing the SAATCA Auditor's Code of Conduct, all auditors commit to notify SAATCA of any changes that can affect the auditor's state of conformance with SAATCA and compliance with regulatory or legal requirements. Refer to SF 56 regarding notifying SAATCA of any changes.

1.15. Publication of Details of SAATCA Registered Auditors

SAATCA shall publish details of registered auditors, (including grade and status, where applicable) on the website: www.saatca.co.za.

Southern African Auditor and Training Certification Authority

Requirements	Criteria			Submissions
Additional Sector/scope	Refer to SAATCA criteria for specific schemes Eg FS – 4 audits plus either training or work experience in the scope			Unless otherwise CV, certificates audit log
Auditing (additional scheme/s)	Auditor : Minimum of 15 days, at least 4 separate audits of which one is a witnessed audit, and one with auditee feedback	Internal Auditor:Minimum of 4 days, at least 3 separate of which one is a witnessed audit, and one with auditee feedback	Lead auditor: Minimum 15 days, at least 4 Separate audits of which one is a witnessed audit, and one with audit feedback	Audit log (fully signed off) Witnessed Audit Report Auditee Feedback
Witnessing	Witnessing Lead Auditors shall be independent of the applicant they witness			Application form & Code of conduct
Sponsor	Sponsor has personal knowledge of the applicant and verified the CV			Performance Report & code of conduct
Auditing (first scheme of certification)	Auditor: Minimum of 20days, at least 4 separate audits of which one is a witnessed audit and one with auditee feedback	Internal Auditor: Minimum of 5 days, at least 3 separate audits of which one is a witnessed audit and one with auditee feedback	Lead auditor: Minimum of 10 days on site with 5 days of off site lead audit activities, at least 3 audits (after auditor audits) of which one is a witnessed audit and one with auditee feedback	Audit log (fully signed off) Witnessed Audit Report Auditee Feedback
Attributes/ Personal behaviours	Desirable attributes/changing to personal behaviours (exhibited during the audit process and attested by Sponsor and Witnessing lead auditor)			Sponsor and Witnessing Lead Auditor Report
Training	Lead auditor training (ISO 19011:2018 and ISO 17021 based) 5 days _ OR Auditor training (3 days based on ISO19011 ONLY)			Certified copies of training certificates
	Management system standard training. ISO/OHS standard [3 days] _ prior to lead auditor course or Auditor course			
	Internal Auditor Training (ISO19011 based) 3 days once off Understanding & Implementation training 3 days			
Work experience	4 years work experience relevant to field (eg quality, environment, safety etc.) 2 years relevant to scheme MS standard (eg ISO 9001, 14001 ISO45001:2018, ISO 22000, etc). Can be concurrent with the 4 years work experience	5 years work experience relevant to field (eg quality, environment, safety etc.) 2 years relevant to scheme MS standard (eg ISO 9001, 14001 ISO45001:2018, ISO 22000, etc). Can be concurrent with the 4 years work experience		CV
Education	Degree/diploma	Degree/diploma equivalent - 4 years work experience relevant to degree/diploma/scheme field		Certified copies of certificates
	Matric or NQF equivalent			

2. INITIAL APPLICATION REQUIREMENTS

REQUIREMENT	ADMISSIBLE EVIDENCE
2.1 Application Documents and Codes of Conduct	
<p>2.1.1. Application forms</p> <p>Applicants shall complete and submit the SAATCA application documentation, according to the Application Checklist section of the application form, including: application form (SF79), with the completed Sponsor's section and personal declaration (SF 29), and ensure that a signed Sponsor's Code of Conduct (SF 51) accompanies the application.</p> <p>As part of the application, applicants shall provide evidence of work experience, audit experience, education and training.</p> <p>Sponsors: These may be either the applicants line manager or (in the case of self-employed applicants, portfolio of evidence is required) or an individual with professional knowledge of the applicant and willing and able to attest to their personal behaviours (see below).</p>	<p>a) Completed Application form and Checklist (Included in the Application form, SF79:), including CV details and sponsorship from at least one individual (who has a business relationship) attesting to the applicant's fulfilment of the requirements.</p> <p>b) Certified copy of ID (Identity document).not older than three months.</p> <p>c) Completed signed Auditor's Code of Conduct (SF 29).</p> <p>d) Completed signed Sponsor's Code of Conduct (SF 51).</p> <p>e) Certified true copies of relevant academic qualifications and/or professional registration in the sector of the application</p>
<p>2.1.2. Code of Conduct</p> <p>In the event of verified breach of the SAATCA applicants / witnessing lead Code of Conduct, auditors will be precluded from reapplying for 3 years.</p>	<p>Self-employed applicants shall submit a portfolio of evidence that demonstrates the attestations required.</p>
2.2 Personal Behaviours	
<p>Applicants shall be able to demonstrate the personal behaviours necessary for the effective and efficient performance of an audit. Desirable personal behaviours for all auditors are:</p> <ul style="list-style-type: none"> Ethical, Open-minded, Diplomatic, Observant, Perceptive, Versatile, Tenacious, Decisive, Self-reliant, acting with fortitude, open to improvement, culturally sensitive, collaborative, Professional, Morally courage, Organized. 	<p>a) Completed signed Sponsor Code of Conduct (SF 51).</p> <p>b) Completed Sponsor's declaration on Application form for Certification. (Also refer below under Witnessing).</p>
2.3 Education	
<p>Applicants must have attained an educational standard that permits the necessary knowledge to perform effectively as an auditor. This includes:</p> <p>Option One: With a tertiary education: Grade 12, N3 certificate or equivalent to NQF Level 4 (secondary education) and tertiary education (e.g. degree, artisan status, diploma).</p> <p>Option Two: In the absence of degree or diploma (tertiary education): Grade 12, N3 certificate or equivalent to NQF Level 4 plus 4 years' work experience in a relevant field for all sectors..</p>	<p>a) Option 1: Certified true copies of relevant academic qualifications and/or professional registration in the sector of application</p> <p>b) Option 2: Certified true copies of Grade 12or equivalent to NQF Level 4 and copy of CV or equivalent evidence of the work experience.</p> <p>c) Any break in work experience shall not be longer than 10 years prior to application, and supported by evidence of continuing professional development is provided.</p>

REQUIREMENT	ADMISSIBLE EVIDENCE
2.4 Work Experience	
<p>2.4.1 General Work Experience For the initial sector of application: Option 1: Where applicants have a degree/ diploma: For the first sector applicants for all grades shall have completed a minimum of four years of work experience in a role that is Occupational Health and Safety related in a technical, professional or managerial position involving the exercise of judgement, problem solving and communication with other managerial personnel, peers, customers, interested and affected parties and/or authorities.</p> <p>Option 2: Where applicants do not have a degree/ diploma: Applicants for all grades shall have completed a minimum of 4 years of work experience as the education equivalent plus five years of work experience in a role that is Occupational Health and Safety related, in a technical, professional or managerial position involving the exercise of judgement, problem solving and communication with other managerial personnel, peers, customers, interested and affected parties and/or authorities. At least 3 years of this relevant experience shall be gained within an Occupational Health and Safety context or shall demonstrate a satisfactory level of work experience gained within an Occupational Health and Safety context</p>	<p>a) Verifiable evidence of work experience: Record of employment, eg CV verified by a line manager, through signature of SF51, attesting to technical, professional or managerial experience as well the applicant's involvement in the exercise of judgement, problem solving and communication with other managerial personnel, peers, customers, interested and affected parties and/or authorities.</p> <p>b) Copy of current and correct CV (current date of employment shall reflect)</p> <p>c) Signed sponsor Code of Conduct SF51 (attestation).</p>
<p>Acceptable experience would be where the applicant has acquired significant experience in at least one of the following:</p> <ul style="list-style-type: none"> • Full time role as manager, supervisor, engineer or technician involved in the technical aspects of facility operation in compliance with applicable regulations. • Implementation and maintenance of a management system, or integrated management system applicable to the scope of application, involving management system conformity management. • Monitoring compliance with applicable laws and regulation on behalf of a regulating body. • Provision of appropriate consultancy services involving the management system applicable to the application. • Full time role relating to the performance of the management system applicable to the application and management of audits of all types (not necessarily management system audits). • Periods of training will <u>not</u> be considered as eligible toward meeting this criterion. <p>Note: For auditors applying for a second (and third etc) scheme discipline, - the work experience related to the second (and third, etc) discipline may be concurrent with the work experience in the first scheme/discipline but must be scheme specific.</p>	
<p>2.4.2 Management System Work Experience The applicants shall have at least 2 years relevant Management System eg implementation, operation, consulting and/or auditing experience gained within the field for which certification is sought. This may be concurrent with the relevant general work experience.</p>	As for general work experience refer to 2.4.1
2.5 Knowledge and Skills	
2.5.1 All auditor grades – generic knowledge and skills	
<p>All auditors shall possess the knowledge and skills necessary to achieve the intended results of the audits undertaken. The following knowledge and skills are generic to all auditors and grades:</p>	Various evidence as itemized in the sections following.

REQUIREMENT	ADMISSIBLE EVIDENCE
<ul style="list-style-type: none"> - Audit principles, procedures and methods - Management system and reference documents - Organizational context - Applicable legal and contractual requirements and other requirements that apply to the auditee. Refer to the next section for scheme specific detail. - Risk management principles, methods 	
2.5.2 All auditor grades – scheme and sector specific knowledge and skills	
<p>Occupational Health and Safety related legal and contractual requirements and other Occupational Health and Safety requirements applicable to the audit/auditee product and service</p> <p>Knowledge of Occupational Health and Safety-related legislation to enable the auditor to work within and be aware of the applicable legislation(s) that applies to the organisation being audited.</p> <p>Note: The competence required is not intended to be sufficient to enable the applicant to conduct legal compliance audits. Knowledge of and skills to judge whether an OHS has been established, is being implemented, maintained and improved in line with the general principles and dictates of applicable law. This requirement entails</p> <ul style="list-style-type: none"> • relevant knowledge of the applicable legal requirements for the location • OHS hazards and risks of the organization to identify errors or omissions and any deficiencies in the identification of, applicability of and access to legal requirements. • Appreciation of legal and other requirements relevant to OH&S sufficient to enable the auditor to evaluate the OH&S management system: <ul style="list-style-type: none"> ○ OH&S specific legal and other requirements. ○ International conventions and treaties on OH&S. ○ Regulatory frameworks and guidance from regulatory bodies. ○ Legal and other requirements governing or affecting the organization's (industrial, business or governmental) sector. ○ Industry, trade association and other "best practices" documents. ○ Employers' association, labour union and customer agreements. • Skills to distil applicable local, regional and national OHS related laws as well as international treaties that apply to the auditee • Skills and knowledge in the areas of contracts and agreements that apply to the auditee • Skills to verify conformity to the applicable OHS law 	<p>a) Knowledge of Occupational Health and Safety legislation is required, once in the registration cycle.</p> <p>b) Knowledge may be demonstrated by means of either successful completion of course work, or by means of demonstrated case work or work experience.</p> <p>c) The extent of knowledge of Occupational Health and Safety legislation is limited to Occupational Health and Safety legislation that is applicable to the organisation for which certification is applied for.</p> <p>d) Applicants shall objectively demonstrate their ability to distil legal requirements that apply to specific Occupational Health and Safety aspects.</p> <p>e) SAATCA may also examine this knowledge by means of an examination, or interview or otherwise.</p>
<p>Occupational Health and Safety management methods, techniques, performance and technology</p> <p>The objective is to enable the auditor to examine OHS management systems and to generate appropriate audit findings and conclusions.</p>	<p>a) Applicants shall objectively demonstrate their knowledge of the requirements.</p>

REQUIREMENT	ADMISSIBLE EVIDENCE
<p>OHS management methods and techniques: to enable the auditor to examine OHS management systems and to generate appropriate audit findings and conclusions.</p> <ul style="list-style-type: none"> • Knowledge and skills in this area to cover as follows (also refer ISO 19011:2018 and ISO/IEC 17021): • The objective is to understanding the OH&S management system requirements and principles, and their application: <ul style="list-style-type: none"> ○ OHS terminology. ○ OHS management system principles and their application. ○ The OHS Management system requirements from the standard (or requirements document) being used for audit. <p>Details from ISO 19011:2018[c1]</p> <ul style="list-style-type: none"> • hazard identification, • risk assessment, determining controls, and risk communication • the evaluation of health and human factors • method for exposure monitoring and assessment of occupational health and safety risks and related strategies for eliminating or minimizing such exposures; • human behaviour, person-to-person interactions and the interaction of humans to machines, processes and the work • the evaluation of the different types and levels of occupational health and safety competence required across an organization and the assessment of that competence; • methods to encourage employee participation and involvement; • methods to encourage employee wellness or well-being and self-responsibility both during working hours and in their private lives; • the development, use and evaluation of proactive and reactive performance measures and metrics; • the principles and practices for identifying potential emergency situations and for emergency planning, prevention, response and recovery; • methods for incident investigation and evaluation; • the determination and use of health-related information – but giving special consideration to the confidentiality over particular aspects of such information; • understanding of medical information • systems of “occupational exposure limit” values; • methods for monitoring and reporting on occupational health and safety performance; • understanding legal and other requirements relevant to occupational health and safety sufficient to enable the auditor to evaluate the occupational health and safety management system. 	<p>Knowledge may be acquired either by means of education, training, successful completion of course work, or by means of demonstrated case work or work experience.</p> <p>b) Applicants shall submit a compiled portfolio of evidence such as:</p> <ul style="list-style-type: none"> • education • case work, • courses attended, • peer review reports • Witness reports (refer below – witnessing <p>c) SAATCA may also examine this competence by means of an examination, or interview or otherwise.</p>

REQUIREMENT	ADMISSIBLE EVIDENCE
2.5.3 Knowledge and skills of Lead Auditors for leading audits	
<p>Lead Auditors shall have additional knowledge and skills in leadership to facilitate the efficient and effective leading of the audit, as per ISO 19011:2018 and ISO/IEC 17021.</p> <ul style="list-style-type: none"> Ability to balance the strengths and weaknesses of the individual audit team members Ability to develop a harmonious working relationship among the audit team members Ability to manage the audit process, including <ul style="list-style-type: none"> planning the audit and making effective use of resources during the audit managing the uncertainty of achieving audit objectives protecting the health and safety of the audit team members during the audit, including ensuring compliance of the auditors with the relevant health, safety and security requirements organizing and directing the audit team members providing direction and guidance to auditors-in-training; preventing and resolving conflicts, as necessary represent the audit team in communications with the person managing the audit programme, audit client and auditee lead the audit team to reach the audit conclusions prepare and complete the audit report 	<p>a) Completed Witnessing Lead Auditor's Report – Lead auditor (SF 45). Also refer below under – Witnessing.</p> <p>b) Applicant shall objectively demonstrate their knowledge of the requirements.</p>
2.6 Training	
2.6.1 Auditor Training	
<p>Successfully completed a certified auditor or lead auditor course based on ISO 19011:2018 and ISO/IEC 17021, of at least 5 days contact training, to auditing principles and practices as follows:</p> <p>Audit principles, procedures and techniques: (ISO19011:2018), to enable the Auditor to apply those appropriate to different scenarios to ensure that audits are conducted in a consistent and systematic manner.</p>	<p>a) Certified copy of Qualification Certificate (s) - 5 Day Lead Auditor Course based on ISO 19011:2018 and ISO 17021.</p> <p>b) SAATCA Confirmation that the course was attended and successfully completed in the 3 years immediately prior to the application for certification.</p>
Learner assessment score of at least 70%	
<p>Approved training shall normally be gained in the 3 years immediately prior to the application for certification.</p> <p>Note: The requirement for the 3 year period may be waived for applicants who can demonstrate that they have undertaken activities from the period between auditor training and making application through auditing of or implementation of applicable management system (as per the application field) and through continuing professional development activities that would be consistent with the requirements for maintaining registration at the appropriate level.</p>	
2.6.2 Management System Training	
<p>OHS and reference documents</p> <p>Attendance of training equivalent to minimum of 3 days contact duration on understanding and implementation on ISO 45001:2018 to ensure:</p>	<p>a) Certified copy of certificate of 3 days understanding and implementation for ISO45001:2018 training.</p>

REQUIREMENT	ADMISSIBLE EVIDENCE
<ul style="list-style-type: none"> ISO45001:2018: Knowledge Management system and reference documents; skills ISO45001:2018: Application that includes design, development, documentation, implementation, maintenance and improvement of an OHS 	b) The training shall be attained from SAATCA registered training course provider
2.6.3 Occupational Health and Safety Specific Technical Training/Knowledge and Skills	
Refer to section above: Occupational Health and Safety management methods, techniques, performance and technology	
2.7 Auditing Experience	
Complete/Qualifying Management System Audits <ul style="list-style-type: none"> An audit covering the entire audit process as described in ISO 19011:2018 and ISO/IEC 17021 and including all aspects of the scheme specific management system standard or an alternative equivalent standard acceptable to SAATCA. Audit Day: A minimum of six hours of <u>audit activity</u> on site (typically part of an 8 hour audit day, as per IAF audit day allocations). Audits shall be at business units that have their own management structure and carry out the management functions associated with the organization's products, services, activities and facilities. For Auditor and Lead Auditor grades only independent audits satisfy the applicable scheme auditing experience requirements. The auditor and the auditor's organization shall have independent management and operating structure from the audited organization. Examples of acceptable relationships are: <ul style="list-style-type: none"> a head office audit of a plant or division as applicable to internal audits; one division or plant auditing another division or plant as applicable to internal audits; a customer organization auditing a supplier; a third party certification audit and; a consultant contracted to provide an independent conformance audit For Internal Auditor grade - audits of the applicant's own organisation's management system or supplier audits covering the full management system of the same scheme for which certification is sought are acceptable. 	
<ul style="list-style-type: none"> Unacceptable audits are: <ul style="list-style-type: none"> audits of duration less than 6 hours on site audits where the ratio of applicant auditors to Lead Auditor/s is more than 4:1 gap analysis; subject to evidence close out or follow up visits; audits of any site that are repeated more frequently than once every 12 months, evidence shall be provided why the audit is conducted more than once. audits participated in as part of a training programme, and audits performed before successful completion of the formal Auditor training requirement. Only audits carried out against a recognized international standard or an alternative recognized equivalent standard as defined in the specific scheme criteria will be accepted by SAATCA. Auditing on site includes the opening and closing meetings and the conformance auditing phase, but excludes planning, document review and preparation of the audit report even when these functions are performed at the premises of the auditee. The audits shall have been completed in the 3-year period prior to application. 	

REQUIREMENT	ADMISSIBLE EVIDENCE
<p>2.7.1 Auditing Experience for Auditor</p> <p>Applicants are required to have participated in at least four complete, successful audits for a total of at least 20 days / 120 hours on site, acquired under the direction and guidance of a Lead Auditor from the same scheme. The Lead Auditor shall sign the SAATCA log for each audit submitted to attest to such direction and guidance.</p> <p>Details and description of each audit shall be entered onto the SAATCA audit log sheet. Details must include identification of the auditee; sufficient to allow verification of the audit by SAATCA. Relevant experience auditing of other schemes for which the applicant holds registration may be considered for up to 5 days (30 hours) of the auditing experience required.</p> <p>For each audit submitted for certification, the applicant shall either have been conversant with the language used or, alternatively, have effectively used a competent translator during the conduct of the audit.</p> <p>At least one witnessed audit (see below) of the applicant.</p>	<p>a) Audit Log sheets (SF26): Completed in full and confirmed SAATCA audit log sheets. Sign-off of fully completed audit log sheets as confirmation by the applicant of the authenticity of the and by the guiding lead auditor as confirmation of the correctness of the audits.</p> <p>b) Auditee feedback (SF72): Completed, positive Auditee Feedback report per scheme of registration regarding the performance of the applicant for at least one audit.</p> <p>c) SAATCA may also verify the information provided by the applicant.</p>
<p>2.7.2 Auditing Experience Lead Auditor Grade</p> <p>In addition to satisfying all the auditing experience requirements for Auditor grade, applicants for Lead Auditor shall have participated as a leader of an audit team which included at least one other auditor, for a further minimum of 3 complete audits of OHS with a total not less than 15 days, of which at least 10 are on site and 5 off-site for planning and reporting.</p> <p>This audit experience additional to that required for Auditor grade must have been gained in the 3-year period prior to application.</p> <p>The above audits shall have been with an audit team size of at least two (including the applicant) on-site where the applicant acted as the team leader and shall have involved the applicant in making a judgement on whether the organisation:</p> <ul style="list-style-type: none"> ○ is achieving the policy objectives as stated in the management system; ○ adheres to its own policies; ○ achieves Occupational Health and Safety performance improvements ○ adheres to its own arrangements ○ conforms to the objectives and requirements of the OHS management system standard. <p>The overall required auditing experience in reaching the Lead Auditor grade shall be gained at a minimum of 3 different operating facilities or business units.</p> <p>At least one witnessed audit (see below) of the applicant acting as Lead Auditor in the capacity of Team Leader.</p> <p>Note: Applicants qualified as Lead Auditor in any one scheme shall automatically qualify for Lead Auditor in all schemes where they meet the auditor's requirements.</p>	<p>a) Audit Log sheets (SF26): Completed in full and confirmed SAATCA audit log sheets. Sign-off of fully completed audit log sheets as confirmation by the applicant of the authenticity of the and by the guiding lead auditor as confirmation of the correctness of the audits.</p> <p>b) Auditee feedback (SF72): Completed, positive Auditee Feedback report per scheme of registration regarding the performance of the applicant for at least one audit.</p> <p>c) SAATCA may also verify the information provided by the applicant.</p> <p>Witnessed audit(s) - refer below</p>

<p>2.7.3 Auditing Experience as related to Internal Auditor Grade</p> <p>Applicants for the Internal Auditor grade shall have;</p> <p>a) participated in at least 3 complete internal audits for at least 5 days (30 hours) on site and must have completed all elements of the audit cycle,</p> <p>b) including: audit planning, documents review, auditing, interviewing, audit reporting. It must not have involved areas or activities of direct responsibility of the applicant.</p> <p>c) acquired under the direction and guidance of a Lead Auditor from the same scheme.</p> <p>d) The Lead Auditor shall sign the SAATCA log for each audit submitted to attest to such direction and guidance.</p> <p>e) one witnessed audit (see below) of the applicant.</p>	<p>a) Audit Log sheets (SF26): Completed in full and confirmed SAATCA audit log. Sign-off of fully completed audit log sheets as confirmation by the applicant of the authenticity of the logs.</p> <p>b) Auditee feedback (SF72): Completed, positive Auditee Feedback report per scheme of registration regarding the performance of the applicant for at least one audit.</p> <p>c) SAATCA may also verify the information provided by the applicant. Witnessed audit(s) - refer below</p>
<p>2.8 Witnessing</p>	<p>Refer to ARP 2.4</p>
<p>2.8.1 Witnessing of Auditors and Internal Auditors</p> <p>a) The witnessed audit(s) shall cover the entire management system and all phases of the audit process. (As defined in ISO 19011:2018 and ISO/IEC 17021).</p> <p>b) Witnessing shall be carried out to verify all applicable auditing requirements as described in ISO 19011:2018 and ISO/IEC 17021 during the course of one complete audit, or a number of partial audits, which in total includes all requirements of the management system standard</p> <p>c) The duration of the witnessed audit and verification shall be sufficient to enable the witnessing auditor to determine:</p> <ul style="list-style-type: none"> • Competence in auditing against each relevant requirement of the applicable management system standard. • Competence in performing the entire audit process, as applicable, according to ISO 19011:2018 and ISO/IEC 17021. • Possession of the personal behaviours identified in ISO 19011:2018 and ISO/IEC 17021 and any additional scheme specific behaviours. <p>d) The Witnessing Lead Auditor shall complete a SAATCA Auditing Performance Report attesting to the satisfactory performance and behaviours of the applicant.</p> <p>e) Witnessing may involve more than one audit and more than one Witnessing Lead Auditor.</p> <p>f) Witnessing shall be carried out by a SAATCA registered OHS Lead Auditor</p>	<p>a) Completed Witnessing Lead Auditor (s) report (s) for Auditors and Internal Auditors (SF 45)</p> <p>b) Signed Witnessing Lead Auditor's Code of Conduct (SF 52) for each witnessing.</p> <p>c) SAATCA may also examine this competence by means of an examination, or interview or otherwise.</p> <p>d) Witnessing Lead Auditors shall be independent of the applicant they witness, in accordance with the Witnessing Lead Auditors Code of Conduct, SF52.</p> <p>e) The Witnessing Lead Auditor shall have had no involvement in the development of the candidate (e.g. education, training, development, mentoring) for a period of two years.</p> <p>f) The Witnessing Lead Auditor shall have had no involvement in the development of the candidate (e.g. education, training, development, mentoring) for a period of two years.</p> <p>g) The Witnessing Lead Auditor performance report must be completed</p>

<p>g) The Witnessing Lead Auditor(s) shall commit to the SAATCA Code of Conduct for witnessing and the applicant shall submit copy of signed Witnessing Lead Auditor Code of Conduct(s) and their witnessing report.</p> <p>h) Responsibility for submission of a completed report and the signed Witnessing Lead Auditor(s)' Code of Conduct remains with the applicant.</p>	<p>by a SAATCA registered Lead Auditor who is different person from the Guiding/Mentoring Lead Auditor that signs SF26</p>
<p>2.8.2 Witnessing of Lead Auditors As above, except that the witnessing shall be carried out to verify all lead auditing requirements as described in ISO 19011:2018 and ISO/IEC 17021.</p> <p>Note1: For auditors that are registered as SAATCA Lead Auditors within schemes other than the one being applied for, the witnessing of Lead Auditor skills does not need to be repeated.</p> <p>Note2: If a lead auditor applicant has been witnessed for auditor registration by a Witnessing Auditor in the scheme of application, then their Lead Auditor witnessing, in exceptional cases, may be considered from an acceptable Witnessing Auditor from another scheme.</p>	<p>a) Completed Witnessing Lead Auditor's report for Lead Auditors (SF 45)</p> <p>b) A sign-off of the audit log sheet as confirmation by the applicant that he or she conforms to this requirement.</p> <p>c) SAATCA may also examine this competence by means of an examination, or interview or otherwise.</p> <p>d) Witnessing Lead Auditors shall be independent of the applicant they witness, in accordance with the Witnessing Lead Auditors Code of Conduct, SF52.</p> <p>e) The Witnessing Lead Auditor shall have had no involvement in the development of the candidate (e.g. education, training, development, mentoring) for a period of two years.</p> <p>f) The Witnessing Lead Auditor performance report must be completed by a SAATCA registered Lead Auditor who is different person from the Guiding/Mentoring Lead Auditor that signs SF26</p>
<p>2.1.3. Upgrade to another grade/Auditing additional grade</p> <p>a) Internal auditor: Minimum of 4 audit, 3 separates audits, witnessing audit and audit feedback.</p> <p>b) Auditor: Minimum of 20 days audit logs, 4 separates audits witnessing audit and audit feedback.</p> <p>c) Lead Auditor: Minimum of 15 days audit logs, 4 separates audits, witnessing audit and audit feedback</p>	<p>a) Audit Log sheets (SF 26): Completed in full and confirmed SAATCA audit log sheets. Sign-off of fully completed audit log sheets as confirmation by the applicant of the authenticity of the logs.</p> <p>b) Auditee feedback (SF 72): Completed, positive Auditee Feedback report per scheme of registration regarding the performance of the applicant for at least one audit.</p> <p>c) Complete Witnessing Lead Auditor's report for Lead Auditors (SF45)</p>

2.9 Training for Internal Auditor	
2.9.1 Internal Auditor Training (ISO/IEC 19011:2018)	
<p>Successfully completion of certified internal auditor course based on ISO 19011:2018, of at least 3 days training, to auditing principles and practices as follows:</p> <p>Audit principles, procedures and techniques: (ISO19011:2018), to enable the Auditor to apply those appropriate to different scenarios to ensure that audits are conducted in a consistent and systematic manner.</p>	<p>a) Certified copy of registered Certificate (s) - 3 Day Internal Auditor Course based on ISO 19011:2018</p> <p>b) SAATCA Confirmation that the course was attended and successfully completed in the 3 years immediately prior to the application for certification.</p>
2.9.1.1 Learner assessment score of at least 70%	
<p>Approved training shall normally be gained in the 3 years immediately prior to the application for certification.</p> <p>Note: The requirement for the 3 year period may be waived for applicants who can demonstrate that they have undertaken activities from the period between auditor training and making application through auditing of or implementation of applicable management system (as per the application field) and through continuing professional development activities that would be consistent with the requirements for maintaining registration at the appropriate level.</p>	
2.9.2 Management System Training: Understanding & Implementation	
<p>OHS and reference documents</p> <p>Attendance of training equivalent to at least 3 days contact duration on OHS to ensure:</p> <ul style="list-style-type: none"> • OHS: Knowledge Management system and reference documents; skills • OHS: Application that includes design, development, documentation, implementation, maintenance and improvement of an OHS. 	<p>a) Certified copy of certificate for 3 days understanding and implementation training of ISO 45001:2018.</p>
2.9.3 Auditing Experience for Internal Auditor refer to 2.7.3	<p>a) Audit Log sheets: Completed in full and confirmed SAATCA audit log sheets (SF 26). Sign-off of fully completed audit log sheets as confirmation by the applicant of the authenticity of the logs.</p> <p>b) Auditee feedback: Completed, positive Auditee Feedback report per scheme of registration regarding the performance of the applicant for at least one audit. (Refer SF 72).</p> <p>c) SAATCA may also verify the information provided by the applicant. Witnessed audit(s) - refer below</p>
2.9.3 Witnessing of Internal Auditors refer to 2.8.1	refer to 2.8.1

3. MAINTAINING CERTIFICATION

REQUIREMENT	ADMISSIBLE EVIDENCE
3.1. Annual Surveillance, Card Re-issue and Fee for Maintenance	
3.1.1. An annual registration application form is required, when personal details changed and require update. (The details from this form are captured onto the SAATCA database).	a) Completed Application for Annual Re-registration (SF76) or information update form.
3.1.2. Annual submission of Audit Log (CPD logs and Auditee feedback may also be submitted annually but are mandatory for the 3 year certification). Refer below for details of audit and CPD requirements. Note: Audit Logs and CPD Logs (where CPD had taken place) shall be submitted annually with registration fees, and recorded by SAATCA certification as the annual surveillance. (These will be evaluated 3-yearly by the Evaluation Committee.)	a) Audit Log sheets: Completed in full and confirmed SAATCA audit log sheets (SF 26). Sign-off of fully completed audit log sheets as confirmation by the applicant of the authenticity of the logs. b) Auditee feedback. (SF 72). CPD Log: refer CPD Log (SF27) SAATCA may also verify the information provided by the applicant.
3.1.3. An annual registration fee (subscription) is payable to SAATCA. a) The SAATCA Board of Directors determines registration fees on an annual basis, and these are published on the SAATCA web site. b) Auditors who fail to meet the annual fee requirements may be subject to suspension or withdrawal of registration, as per ARP 2.7	Payment of fees as per the prevailing SAATCA fee structure - Personnel Registration Fees (SF 63)
3.2. 3 Yearly Application for Re-Certification	
a) All certified auditors shall be required to renew certification. b) The period between certifications (and between initial and renewals) would normally be 3 years and shall not exceed 3.5 years. c) Applicants for <u>re-certification</u> shall complete and submit the applicable application form and a signed Auditor's Code of Conduct.	a) Completed Application form for Re-certification (SF18) b) Completed signed Auditor's Code of Conduct (SF 29) c) Updated CV
3.3. Maintenance of Auditing Ability	
Each applicant for re-certification shall maintain an audit log (SAATCA prescribed format SF26) on which shall be recorded the details of each audit undertaken. Note: Audit Logs shall be evaluated 3-yearly by the Evaluation Committee.	Audit Log sheets: Completed in full and confirmed SAATCA audit log sheets (SF 26).
3.3.1. Re-Certification audit experience for Auditor and Lead Auditor grade At least two complete audits (minimum of 6 hours each) per year, with a minimum of 6 audit days in total over the re-certification cycle. These audits shall be conducted in accordance with ISO 19011:2018 and ISO/IEC 17021, in the scheme relevant to certification.	a) Audit Log sheets: Completed and confirmed SAATCA audit log sheets (SF 26). b) CPD log for additional Occupational Health and Safety sectors – refer below for CPD details.

REQUIREMENT	ADMISSIBLE EVIDENCE
3.3.2. Re-Certification audit experience for Lead Auditor grade At least one complete audit per year (of the 2 required above), acting on the capacity of Lead Auditor, including sole audits.	a) Audit Log sheets: Completed and confirmed SAATCA audit log sheets (SF 26). b) Certified certificate copy of legal requirement.
3.3.3. Re-Certification audit experience for Internal Auditor grade At least one complete audit (minimum of 6 hours each) per year, with a minimum of three audits over the re-certification cycle. These audits shall be conducted in accordance with ISO 19011:2018 and ISO/IEC 17021, in the scheme relevant to certification.	a) Audit Log sheets: Completed and confirmed SAATCA audit log sheets (SF 26). b) Certified certificate copy of legal requirement.
3.3.4. Provisional Auditors a) No specific minimum requirement, but logs of completed audits to be provided annually, with the aim of completing sufficient audits over three years to enable upgrade to auditor. b) This grade may be maintained up to 3 years on satisfactory demonstration of compliance with the other requirements specified for Internal Auditors. After 3 years, the status of Provisional Auditor will be reviewed.	If there have been audits completed: Audit Log sheets: Completed and confirmed SAATCA audit log sheets (SF 26).
3.3.5. Auditee Feedback For at least one of the OHS audits, over the 3-year cycle, auditee feedback shall be obtained and for Lead Auditors, this feedback shall be where the re-certifying lead auditor applicant acts as the leader of an audit team or as sole auditor.	(SF72) Completed positive Auditee Feedback Report
3.4. Continual Professional Development (CPD)	Refer to SF 58: Guidelines for CPD
CPD Requirements It is mandatory that each SAATCA certified auditor undertake at least 45 hours of appropriate CPD during each 3-year period immediately prior to renewal of certification. Evidence of that professional development, properly verified, shall be submitted as part of the application for renewal of certification. CPD may be undertaken in areas including: <ul style="list-style-type: none"> ○ The fields listed under Education; and/or ○ OHS auditing practices or techniques; and/or ○ OHS management system related and/or ○ Generic management tools or techniques, and/or ○ Occupational Health and Safety risk assessment At least 8 hours of CPD per three-year cycle shall be related to updating on OHS related legal knowledge or any other applicable legislative requirements CPD Logs may be submitted annually with registration fees. Note: In the selection of appropriate professional development, auditors shall consider their personal strengths and weaknesses and identify areas for personal improvement.	CPD Log: CPD Log (SF27) completed in full and signed off with evidence of professional development, properly verified. For guidance on the allowable CPD claims, refer to the SAATCA CPD Guidelines - SF 58

REQUIREMENT	ADMISSIBLE EVIDENCE
3.5. Changes to these criteria and transition	
Clarifications - effective immediately on publication <ul style="list-style-type: none"> Management system training – clarified the pre-requisite training on the applicable management system standard prior to the 5-day Lead Auditor Course. Auditing experience for new applicants - the ratio of applicant auditors to Lead Auditors as 4:1 for qualifying audits. Sponsorship – change from 2 sponsors to 1. 	<p>Training certificates</p> <p>Audit log (SF26)</p> <p>Application form (SF79 or SF68)</p>
Changes effective from February 2013 <ul style="list-style-type: none"> Changes to align to ISO 19011:2018 and ISO/IEC 17021, including updated ISO 19011:2018 title, updated personal attributes to personal behaviours as per ISO 19011:2018:2011 and ISO/IEC 17021:2011, aligned knowledge and skills for Lead Auditor to ISO 19011:2018. Added CPD requirement - CPD per cycle – Inclusion of a minimum of 8 hours of CPD related to updating legal knowledge with effect from re-registration cycle commencing 2013. 	<p>CPD log and signed self-declaration of knowledge and understanding of the changes related to ISO 19011:2018 and ISO/IEC 17021</p> <p>CPD log (effective pro-rata from re-certification commencing after 2013)</p>

END OF CRITERIA

4. REVISION HISTORY

Revision Date	Rev No.	Summary of changes
Various	1	Prior to implementation of revision history table
June 2011	2	<p>Updated OHS criteria to merge with and align to the Generic Criteria, CRT6.0, including:</p> <p>Removed detail that is already covered on the www.saatca.co.za, for example Background, objectives, codes of conduct, certification process.</p> <p>Removed annex on CPD and referred to SF58.</p> <p>Updated Approval Table (font page)</p> <p>Added revision table</p> <p>Clarified provisional auditor work experience and management system work experience</p> <p>Clarified annual surveillance</p> <p>Updated definitions and references (1.2 and 1.3)</p> <p>Included details of previously applied “grandfather” requirements (1.5)</p> <p>Added disputes and appeals (1.9)</p> <p>Included details for transition (1.10)</p> <p>Addition of “Publication of Details of SAATCA Registered Auditors” (1.14)</p> <p>Clarified requirements for “equivalent to tertiary qualification (2.3)</p> <p>Clarified the “equivalent” component for tertiary education and work experience, including requirements if there is a break in working (2.3 and 2.4)</p> <p>Added details of portfolio of evidence and option for SAATCA to verify evidence by means of an examination, or interview or otherwise to interview. (2.5.1).</p> <p>Clarified auditor training - contact hours, at least 70% pass mark and applicant to supply certificate of training (2.6)</p> <p>Clarified six hours of audit activity on site (typically part of an 8 hour audit day, as per IAF audit day allocations) and unacceptability of audits as part of training programme (2.7)</p> <p>Relevant experience auditing of other schemes for which the applicant holds registration may be considered for up to 5 days of the auditing experience required. (2.7.1)</p> <p>Correction of lead audit experience being gained in 3 years prior to application (not 2) and Applicants qualified as Lead Auditor in any one scheme shall automatically qualify for Lead Auditor in all schemes where they meet the auditor’s requirements. (2.7.2)</p> <p>Added upgrade from provisional auditor grade, and included requirement for any CPD due at the time of upgrade (2.7.3)</p> <p>Clarification of internal auditor’s audit experience (2.7.4).</p> <p>Clarified witnessing requirements (2.8.1 and 2.8.2)</p> <p>Added conditions pertaining to breach of code of contact (2.8.3)</p> <p>Added use of Application Checklist and of Auditee Feedback form - Auditee feedback to be provided - least</p>

Revision Date	Rev No.	Summary of changes
		one of the audits, per scheme of certification (3.3) Removed reference to Annex 4 and replaced with reference to SF58 (3.4)
July 2011	2	Spelling error rectified. 1.5 Grandfather clause - audits changed to auditors
October 2011	3	Item 2.1 Added requirement for certified copy of ID to be provided with application. Item 2.3. Added reference for clarity: (and if not, refer to para below). Item 2.7.1. And 2.7.2. Clarified wording related to hours under guidance of lead auditor. The requirement for 20 days of guidance has always been applied, but the wording was misleading.

Revision Date	Rev No.	Summary of changes
January 2013	4	<p>Clarifications:</p> <ol style="list-style-type: none"> Introduction: Added reference to MS standard and to use of criteria for maintenance of auditor registration. Definitions - additional definitions were removed as those from the reference standards are applied Equivalent standards: Moved the ISO/IEC equivalent standards from the body of the criteria to the List of Equivalent Standards. Start up auditor clause - Slightly different wording which better reflects the past practice with regard to start up auditors Sponsorship – clarified that all new auditors require one sponsor. Transition: Created a separate section in maintenance table for changes to criteria and transition and evidence required (previously on cover page). Sector registrations: Made provision for inclusion of sector specific for use by those schemes that have sectors, eg Food and EMS Auditor/lead auditor training; replaced 40 hours with 5 days to align to updated TCP criteria which describe the hours. General: Re-arranged some paragraphs and sections and clarified wording, eg related to general work experience and wording on maintenance. Corrected revision numbers referenced in “rev no” column Witnessing Clarified as per code of conduct Witnessing Lead Auditor 1.16 Summary of requirements added <p>Technical changes:</p> <ol style="list-style-type: none"> Changes to align to ISO 19011:2018/17021, including updated ISO 19011:2018 title, updated personal attributes to personal behaviours as per ISO 19011:2018:2011 and ISO/IEC 17021:2011, aligned knowledge and skills for auditors and lead as to ISO 19011:2018, clarified conformance and compliance, etc. Start-Up Concession: added detail of the evaluation panel composition for start up concessions. Management System training - clarified the pre-requisite training on the applicable management system standard prior to the 5-day Lead Auditor Course, which was always in the TCP criteria, with duration of a minimum of 2 days. Auditing Experience for new applicants – defined the ratio of applicant auditors to Lead Auditors as 4:1 for qualifying audits. CPD: Added a CPD requirement of at least 8 hours per CPD cycle of CPD related to updating legal knowledge.
July 2013	4	<p>Correction</p> <ol style="list-style-type: none"> Clarified N3 as equivalent to matric Artisan status equivalent to diploma

Revision Date	Rev No.	Summary of changes
2018-02-12	5	<p>1.3 Reference Deleted : International Personnel Certification Association (IPC) Specification for the Development of Certification Schemes for the Certification of OHS and OHS Auditors (BD-05-007)</p> <p>1.7.1 Deleted : an IPC recognised or 1.7.4 Deleted an IPC</p> <p>1.16 Criteria diagram Training deleted 2 days and add: 3 days for Management system training 1.16 Added: internal auditor training 3 days & understanding and implementation 5 days.</p> <p>2.6.1 Deleted: an IPC equivalent and IPC recognised 2.6.2 deleted 2 days and add 3 days 2.8.1 Deleted or IPC equivalent</p> <p>2.9 Added Training of Internal Auditor</p> <p>2.9.1 Internal Auditor Training Added: Internal auditor course based on ISO 19011:2018, of at least 3 days training, to auditing principles</p> <p>2.9.2 Management System Training (Understanding & Implementation) 5 days training based on OHS</p>
2018-12	6	<p>Deleted OHSAS to OHS Delete OHSAS 18001 to ISO 45001:2018 Add 2018 to ISO 19011:2018 not ISO 19011 Deleted second line paragraph of 1.4 Deleted matrix to grade 12 Deleted relevant field on par 2.3 Deleted admissible evidence that state Or, if more than 3 years..... paragraph deleted.</p>