



**Certification Criteria for
Occupational, Health and Safety
Management Systems
Auditor/Lead Auditor Training Course
OHSAS 18001**

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Glossary

Many of the certification requirements common to all courses are detailed in the Criteria for Training Course Providers and Training Courses.

Successful completion of an Occupational Health & Safety Management Systems Auditor/Lead Auditor Training Course will satisfy the training requirements for SAATCA certification to all grades of Occupational Health & Safety Management Systems auditor.

Authorization

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1. INTRODUCTION

- 1.1 The Southern African Auditor and Training Certification Association (SAATCA, to assist approved training organisations seeking certification of an Occupational Health & Safety (OH&S) Management Systems Auditor/Lead Auditor training course have prepared these criteria.
- 1.2 These criteria specify the requirements for training courses including the knowledge and skills to be covered during the course. It is mandatory that the content, training methodology and delegate assessment offered on all such courses comply with the criteria detailed in this document.
- 1.3 Each training organisation may exercise flexibility in the inclusion of additional material, and in the structure and selection of specific training methods used during its certified course.
- 1.4 The principal aim of this training course is to equip delegates with the knowledge and skills required to perform audits of OH&S management systems against the national & international standards, statutory requirements and regulations, using the principles of ISO 19011.
- 1.5 To satisfy the training requirements for initial certification as an SAATCA OH&S auditor, applicants shall have successfully completed an appropriate training course, which has been certified by SAATCA, within the three years prior to making application.

2. PRIOR KNOWLEDGE REQUIREMENT

- 2.1 This course is intended for those who are relatively new to management systems auditing but who have an occupational health and safety background.
- 2.2 Existing qualified Quality Management Systems (QMS) or Environmental Management Systems (EMS) auditors wishing to extend their knowledge into the OH&S auditing field should contact SAATCA for more information.

3. LEARNING OBJECTIVES

- 3.1 Learning objectives describe in outline what delegates shall be able to do by the end of the course.
- 3.2 Delegates will need to demonstrate acceptable performance in all of these areas in order to complete the course successfully, and training organisations will need to demonstrate a factual and objective approach to the assessment of delegate performance.

By the end of the course delegates will be able to:

- 3.1.1. Describe the purpose of an OH&S management system (OHSAS 18001).
- 3.1.2. Explain the scope of OH&S management system standards (OHSAS18001) and, where applicable, other criteria (e.g. OH&S legislation) against which an OH&S (OHSAS18001) audit could be performed.
- 3.1.3. Describe the principles; processes and techniques used for the assessment of risk and the significance of these in OH&S management systems (OHSAS18001).
- 3.1.4. Interpret the requirements of OH&S management systems standards (OHSAS18001) in the context of an audit.
- 3.1.5. Effectively plan and conduct an audit of the management and operation of an organisation in accordance with:
 - a. the requirements of relevant OH&S audit criteria, and
 - b. ISO 19011.
- 3.1.6. Report the audit, including writing valid, factual and value-adding non-conformity reports.
- 3.1.7. Undertake audit follow-up activities, including evaluating the effectiveness of corrective and preventive action.

4. ENABLING OBJECTIVES - KNOWLEDGE & SKILLS

In order for delegates to achieve the overall learning objectives, they will need to acquire and develop specific **knowledge** and **skills**. These are specified below and can be considered as stepping-stones to the achievement of the learning objectives.

By the end of the course delegates shall be able to:

4.1 OH&S MANAGEMENT SYSTEMS

Knowledge:

- 4.1.1 Explain the purpose and benefits of an OH&S management system.
- 4.1.2 Explain the elements essential for the operation and documentation of an OH&S management system (OHSAS18001), including:
 - a. Initial status review and its role in the development of the organisation's OH&S management system.

- b. The different risk assessment tools and techniques available to organisations.
- c. OH&S management system planning techniques, including the establishment of OH&S policy and objectives (OHSAS18001).

- d. OH&S policies with respect to the health, safety and welfare obligations to employees, customers, suppliers, contractors and the public.
- e. The responsibility and accountability for OH&S within the organisational structure.
- f. Methods for the identification of appropriate national/local OH&S (OHSAS18001) legislation and the procedures for ensuring full implementation and compliance.
- g. Methods for establishing appropriate controls based on the assessment of risk generated by the organisation's operations.
- h. Methods for the development and implementation of emergency response and preparedness plans.
- i. Tools and techniques for measuring the performance of the OH&S management system (OHSAS18001), including audit and incident investigation.
- j. Auditing the OH&S management system (OHSAS18001) and the verification of its on-site implementation.
- k. Periodic status review/management review of the effectiveness of the OH&S management system (OHSAS18001).
- l. Continuous improvement of the OH&S management system (OHSAS18001), based on the PDCA (Plan, Do, Check, Act) cycle.

4.2. OH&S MANAGEMENT SYSTEMS STANDARDS

Knowledge:

- 4.2.1 Describe the philosophy supporting OH&S management system standards (OHSAS18001) (i.e. the effective implementation and continual improvement of OH&S management systems, and the anticipation and prevention of circumstances that may result in occupational injury or ill health), and briefly describe the development of modern OH&S legislation, based on the principles of risk assessment and self-regulation.
- 4.2.2 Explain the purpose, structure and content of OHSAS 18001 & OHSAS 18002.
- 4.2.3 Explain the terms certification/registration and accreditation, describe the certification/registration and accreditation processes, and the purpose and benefits of a certified/registered OH&S management system.

- 4.2.4 Explain the similarities and differences between the OH&S management system standard (OHSAS18001) and the international and national standards for quality and environmental management systems, and explain the rationale supporting the integration of OH&S requirements into other management systems
- 4.2.5 Explain any local OH&S requirements.

Skills:

- 4.2.6 Draw links between the statutory and regulatory requirements for OH&S management systems and how to audit for conformance and compliance against these requirements, including the local legislative framework where a course is delivered (as appropriate) together with any internationally accepted legislation, protocols, conventions and codes of practice.
- 4.2.7 Interpret and apply the requirements of OH&S management systems standards appropriately in an audit situation (the Training Organisation shall decide the OH&S MS standard (OHSAS18001) to be used for this; any change of OH&S MS standard must be submitted to SAATCA for review and acceptance before use), and suggest audit evidence that might satisfy these requirements. Delegates shall demonstrate an ability to audit the following key areas:
- a. An organisation's identification of risk and the development of risk management controls.
 - b. The effective implementation of an organisation's risk management controls (i.e. operational procedures), including emergency response and preparedness plans.
 - c. Conformance of an organisation's OH&S management system against the relevant OH&S management system requirements (OHSAS18001).

4.3 AUDIT PROCESS

Knowledge:

- 4.3.1 Describe the differences in purpose and conduct between 1st, 2nd and 3rd party audits.
- 4.3.2 Recognise the different types of OH&S audits and assessments, including technical, functional and management system audits, and their specific applications and relevant terminology.
- 4.3.3 Describe the roles and responsibilities of auditors, lead auditors, auditees and guides, in the context of OH&S management systems audits, and in accordance with ISO 19011.
- 4.3.4 Explain the management responsibilities of the Lead Auditor in managing the audit and the audit team.
- 4.3.5 Explain the need for effective communication with the auditee throughout the audit process.

- 4.3.6 Explain the role of the SAATCA auditor certification schemes, auditor training, and the requirements for individual certification, including Continuing Professional Development.
- 4.3.7 Explain the need for auditor confidentiality and describe the content and intent of the SAATCA code of conduct.

Skills:

- 4.3.8 Successfully undertake the roles of an auditor and audit team leader, including management and co-ordination of the audit team.

4.4 AUDIT PLANNING

Knowledge:

- 4.4.1 Describe typical forms of pre-audit contact and their purpose, including when they might be appropriate.
- 4.4.2 Explain the purpose and significance of the audit scope.
- 4.4.3 State the purpose of a document review/stage one audit and describe a typical document review process and outputs.
- 4.4.4 Explain the use, benefits and potential limitations of checklists, and where appropriate, alternatives to checklists.

Skills:

- 4.4.5 Establish audit resource requirements.
- 4.4.6 Define the scope of an OH&S audit.
- 4.4.7 Prepare an on-site audit plan that is appropriate to the organisation's operation.
- 4.4.8 Produce an audit checklist (or alternative).
- 4.4.9 Perform a document review or stage one audit in order to assess whether documentation meets requirements and to determine whether adequate arrangements are in place to justify proceeding with the implementation audit.

4.5 CONDUCTING THE AUDIT

Knowledge:

- 4.5.1 Describe the purpose and typical content of, and the attendees typically present at audit meetings, including opening and closing meetings, audit team meetings and auditee feedback/review meetings.
- 4.5.2 Explain the process of, and different methods for, gathering objective evidence during an audit, including: sampling, observing and interviewing. Describe the benefits and limitations of these methods.

Skills:

- 4.5.3 Successfully manage opening and closing meetings.
- 4.5.4 Conduct an audit interview and demonstrate ability to:
 - a. Use a checklist (or alternative) effectively and follow audit trails.
 - b. Build rapport with the auditee.
 - c. Question, listen, observe and make notes.
 - d. Select sufficient and relevant samples and analyse them.
 - e. Provide feedback to the auditee.
 - f. Be able to communicate with the auditee at all organisational levels on OH&S issues.
- 4.5.5 Successfully audit the OH&S management system for conformance to the relevant management system standard, including the following:
 - a. The identification of risk and the development of risk management controls.
 - b. The effective implementation of risk management controls (i.e. operational procedures), and emergency response and preparedness plans.
 - c. Conformance to the relevant OH&S management system requirements.
 - d. Compliance to defined national or local legislation (as appropriate).
- 4.5.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture.
- 4.5.7 Analyse the information gathered in the context of OH&S requirements and the audit organisation.

4.6 REPORTING AND FOLLOWING UP THE AUDIT

Knowledge:

- 4.6.1 Explain the terms corrective action and preventive action and describe the roles and responsibilities for taking and verifying corrective and preventive action.
- 4.6.2 State the purpose and typical content of a non-conformity report.
- 4.6.3 Describe typical systems for grading non-conformity reports and the implications and further actions required for different grades of nonconformity.

- 4.6.4 Identify types of objective evidence that may be required to demonstrate effective implementation of corrective and preventive action.
- 4.6.5 Explain the purpose of surveillance visits.

SKILLS:

- 4.6.6 Evaluate objective evidence gathered and correctly identify conformance and non-conformity with OH&S requirements.
- 4.6.7 Recognise and report positive audit findings and opportunities for OH&S improvements that reduce business risk.
- 4.6.8 Write and grade non-conformity reports based on objective evidence obtained during the course of the audit.
- 4.6.9 Write a meaningful and accurate summary of the audit.
- 4.6.10 Make recommendations for certification approval based on audit findings.
- 4.6.11 Present audit findings and recommendations to the client.
- 4.6.12 Evaluate proposals for corrective/preventive action and differentiate between corrective and preventive action.

5. TRAINING METHODOLOGY

- 5.1 Courses shall be highly participative. Training methods selected should seek to involve and engage delegates throughout the duration of the course.
- 5.2 Delegates shall participate in skills-based practical activities for a minimum of 50% of the course duration. These activities shall include relevant case studies involving an element of realism to fully test each delegate's to conduct OH&S management system audits. (OHSAS18001)
- 5.3 **Knowledge-based** sessions (see *Knowledge Enabling Objectives* above) may be tutor led, but shall allow for some interaction with delegates, enabling tutors to test learning and delegates to clarify their understanding, as appropriate.
- 5.4 **Skill-based** content (see *Skills Enabling Objectives* above) shall be addressed through the participation of all delegates in appropriate practical activities.
- 5.5 Skills content may be supported by tutor input sessions to address the underpinning knowledge requirements, e.g., best practice observation and interview techniques etc.
- 5.6 Methods for validating delegates' achievement of the Learning Objectives and for providing timely feedback to delegates shall be included in the course.
- 5.7 Training aids, such as videos, that are directly relevant may be used to supplement the training by the tutors. These may be commercial training videos or videos produced during the course to record and review the performance of delegates. No more than three hours of the total course time may be devoted to any interactive, passive training aids.

- 5.8 Timekeeping, planning and programme management are essential elements in the performance of an audit. Whilst SAATCA recognises that effective training is responsive to delegates' needs, any deviations from the timetable shall be managed to ensure that all learning objectives are adequately covered and delegates kept informed of significant changes.
- 5.9 Tutors shall set a good example to delegates and maintain good discipline and timekeeping throughout the course.
- 5.10 Training organisations shall submit session plans or tutor notes for each individual training session. These shall specify:
- a. Learning objectives for the session.
 - b. Duration of the session.
 - c. The kind of activity/activities and training method(s) to be used.
 - d. Procedure for running the session.
 - e. Tutor briefing details.
 - f. Delegate briefing details (i.e. for practical activities).
 - g. Deliverables required from delegates (for practical sessions).
 - h. Details of delegate materials and equipment required running the session.
 - i. Details of tutor materials and equipment required running the session (e.g. marking schemes, model answers for practical activities etc.).
- 5.11 Where training methods or use of exercises etc. are optional, this shall be clearly indicated in session plans.

6. COURSE CONTENT

- 6.1 At the beginning of the course presentation the course provider shall provide the delegates with a description of the learning objectives, course format, and programme, delegate responsibilities, delegate evaluation processes and criteria.
- 6.2 The course shall cover:
- 6.2.1 All aspects defined in **Learning Objectives** and amplified in **Enabling Objectives**.**
 - 6.2.2 Local requirements, culture, practices or approaches to auditing and the application of OH&S standards, as appropriate for each country in which the course is presented.

7. COURSE DURATION

- 7.1 The total course time devoted to direct instruction and to assign team and individual activities shall be at least **40 hours**.
- 7.2 This course shall be presented over five consecutive days, unless otherwise authorized in writing by SAATCA.
- 7.3 The following considerations will be taken into account by SAATCA when evaluating any request for variation:
- a. Reasons for the requested variation.
 - b. Rationale for the requested variation.
 - c. Modifications to the training programme/schedule.
 - d. Assessment of impact on the learning process.
- 7.4 All delegates shall be in attendance for the full duration of the course.
- 7.5 If the course is given through translators, the time shall be increased as necessary to satisfy the learning objectives.

8. TUTORS & DELEGATES

- 8.1 The maximum number of delegates per course shall be **20**, and the minimum shall be **4**.
- 8.2 A course shall be run with a minimum of two Tutors, (except as defined below) both of who shall be present throughout the course. At least one Tutor shall meet the requirements for a Senior OHS Auditor.
- 8.3 Where the number of delegates is 4 to 10 inclusive, the course may be presented with one Tutor. That Tutor shall satisfy the requirements for a Senior OHS Auditor.

9. VARIATIONS

- 9.1 Variations to any of these criteria in respect of any special circumstances shall be considered for approval on receipt of a written request from the Training Organisation to SAATCA.
- 9.2 Any such request shall be made immediately the reason for the variation request becomes apparent.

10. DELEGATE ASSESSMENT & EXAMINATION

- 10.1 There are TWO independent elements in the assessment of each delegate's attainment of the learning objectives, both of which shall be satisfied if the delegate is to satisfactorily complete the course:
- a. **Continuous assessment:** Delegates will be required to demonstrate acceptable achievement of the **learning objectives**. Some of these learning objectives will be tested in the examination, but training organisations shall incorporate the testing of objectives into formal continuous assessment processes.
 - b. **A written examination:** Which shall be one of the SAATCA Approved set exam papers produced by the training organisation which is acceptable to SAATCA
- 10.2 Delegates shall sit a written examination of **two hours** duration. The examination paper has **four sections**. All questions shall be attempted, a maximum of 100 marks is available, and the pass mark shall be **70**. Delegates shall be required to achieve at least **40%** in each section.
- 10.3 The Training Organisation shall submit a minimum of **2 papers** and solutions for the course to allow for random selection and re-sits. Any questions used during the course may not appear in these papers and no SAATCA approved paper may be given to the delegates outside the examination.
- 10.4 Questions and their solutions shall be constructed as indicated below:
- a) Multiple-choice questions which require delegates to select one answer to indicate the best answer. These questions shall test delegate knowledge of OH&S MS requirements – OHSAS18001 and audit practice on which the course is based.
 - b) Short questions that require a brief written answer in the space provided. These questions shall test delegate knowledge of OH&S MS requirements on which the course is based, and audit practice.
 - c) Essay questions requiring a detailed written answer that will normally take one or two paragraphs and fill the space provided on the paper. This section shall be designed to test delegate ability to audit real OH&S situations and recognise any non-conformities against OH&S statutory or regulatory standards appropriate to the course.
 - d) Situations for which a non-conformity report (NCR) may be required. This section shall be designed to test delegate ability to audit real OH&S situations and recognise any non-conformities against OH&S statutory or regulatory standards appropriate to the course. Delegates shall be required to write non-conformity reports where appropriate.

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- 10.5 The Training Organisation may modify the SAATCA Approved examination papers as indicated below, but shall not change the structure of the paper (Minor changes in the wording may be made to reflect local language differences).

11. ADVERTISING & PUBLICITY

- 11.1 Advertising literature shall clearly state that successful completion of the course fulfils only part of the requirements for SAATCA certification as an OH&S management system auditor – OHSAS 18001.
- 11.2 It shall not be stated or implied that successful completion of this course counts towards SAATCA certification as a QMS or EMS auditor.

APPENDIX 1: NOTES FOR GUIDANCE

Coverage of OH&S Management Systems Standards

Requirements 1:

- Requires that delegates be able to explain the intent and requirements of each clause of OHSAS 18001 or the relevant OH&S management system standard on which the course is based.
- However, it is recognised that delegates may have knowledge of these management system requirements before attending the course, either from previous training, experience or pre-course work.
- Training Organisations will not be expected to present a clause-by-clause analysis of the management system standard, but will need to satisfy themselves and SAATCA that this objective is met.

Requirements 2:

- Requires delegates to interpret and apply OHSAS 18001 or the relevant OH&S management system standard requirements, and to suggest what objective evidence might be needed to satisfy these requirements.
- Delegate ability to do this should be tested through practical exercises, although it is recognised that delegates will only be able to gain this practical experience on limited elements of an OH&S management system standard.
- Training Organisations should ensure that training courses provide realistic practice in auditing the most important OH&S management systems standard requirements. This should be achieved through the use of case studies, workshops and role-play, supported by realistic materials, documentation and scenarios, and using pictures, videos etc. to enhance the realism where possible.
- The following table gives some examples of how these realistic auditing scenarios may be approached to provide adequate coverage of the most important OH&S MS standards requirements - OHSAS.

LEARNING OBJECTIVES & ENABLING OBJECTIVES IN SESSION PLANS & CONTINUOUS ASSESSMENT

The overall Learning Objectives of a course cascade down to facilitate the formal assessment of delegate performance, and the linkages between the learning objectives, enabling objectives, session plans and formal assessment of delegate knowledge and skills.

- 1. Overall Course Objectives.** The seven overall learning objectives summarise the overall aim of the course. At the beginning of the course delegates shall be informed that they need to achieve all of these learning objectives and shall be informed of the way in which their achievement will be assessed, i.e. through an examination and continuous assessment of knowledge and skills.
- 2. Session Plans.** The learning objective(s) for each session of the course shall be stated in tutor notes. These learning objectives may be supported by knowledge and skills-based enabling objectives.
- 3. Assessing Delegate Achievement of Learning Objectives.** Formal assessment of delegate achievement of the learning objectives shall be included at appropriate points in the course.

Each delegate's achievement of these objectives shall be assessed through written or practical work, validated objectively by the tutor(s) against set criteria (e.g. a marking schemes or model answers). Delegates shall achieve each of the learning objectives to pass the course.

Examples of formally assessed written work include: analysis of case study scenarios; production of audit plans/programmes; production of audit checklists; producing nonconformance reports. Delegate output shall be measured against set criteria, e.g. model answers or marking schemes. A sample-marking scheme is provided below.

Examples of formally assessed practical assignments include: conducting audit interviews; conducting audit meetings; managing an audit team. The performance of delegates in these activities must be measured against set criteria. These criteria could be based on the enabling objectives.

- 4. Recording Delegate Achievement and Daily Continuous Assessment.** Each delegate's performance relating to the learning objectives shall be recorded on his/her continuous assessment form.

Delegates shall be informed if their performance in any learning objective is unacceptable and be provided with opportunities to improve.