

## **Notification: Annual Surveillance & Three Year Certification Renewal Communication – December 2012**

**Dear Auditor**

SAATCA auditor certification programmes aim to provide business, industry and employers of auditors with confidence in the skills and competence of SAATCA certificated auditors. The renewal of your certification will ensure a continued professional recognition of these skills. This, in turn, will enhance your career prospects and make you more marketable to organisations that require the services of experienced and credible certified auditors.

### **Updates to the SAATCA Auditor Registration Requirements and Process**

The SAATCA Scheme Committees together with the Technical Management Board review the SAATCA criteria on an on-going basis and update where appropriate.

Note that for all schemes it is important that SAATCA clients refer to the [website](#) under “[How to apply](#)” for the updated version of their criteria as well as the transition timelines for the updated and approved criteria.

SAATCA would also like to remind all auditors to refer to the SAATCA website, for the latest standard forms when applying for re-certification, re-registration, upgrade or extension of scope. The forms are updated from time to time in accordance with updated and new criteria. Auditors can assist us in this process by checking their application against the criteria on the website, showing the rigor we know all auditors possess by being thorough in the application.

As a means to improve the soundness of the certification process, SAATCA is still re-evaluating all re-certification and upgrade applications in accordance with the applicable Scheme Criteria and transition requirements.

### **Summary of the requirements for both annual surveillance and three-year re-certification.**

#### **1. Annual surveillance**

In line with the requirements of ISO 17024, the management system standard applicable to SAATCA, there are annual submissions required, that SAATCA will review prior to re-issue of auditor registration cards, including Audit and CPD logs.

#### **2. Three-year re-certification**

In order for an auditor's certification to be renewed every 3 years, SAATCA requires evidence that meet the renewal requirements. The requirements are summarized below, but please refer to the website for the latest criteria. A re-certification decision, based on the submitted evidence is then made.

### 3. Summary of submissions and outcomes

<u>Submissions</u>	<u>Annual requirements</u>	<u>Three-yearly requirements</u>
<b>Application form</b>	Yes <b>SF103</b> SAATCA Client information update sheet - But only required if auditor personal details have changed, to ensure all details are updated.	Yes - Three yearly re-certification form ( <b>SF18</b> )
<b>Audit log</b>	Yes ( <b>SF26</b> ) - Acceptance criteria: At least 2 audits for auditor grade, at least 1 as either lead or sole auditor for lead auditor grade), and 1 for internal auditors.	Yes ( <b>SF26</b> ) Acceptance criteria: Confirmation of the acceptability of the 3 separate annual submissions.
<b>Continuing Professional Development (CPD) log</b>	Optional - Only if there has been CPD There is no minimum per year. (Please attach proof CPD activity e.g. workshops, seminars, training, etc). Also refer to SF58 CPD guidelines.	Yes ( <b>SF27</b> ) Acceptance criteria: At least 45 hours over the 3-year cycle. (Please attach proof CPD activity e.g. workshops, seminars, training, etc). Also refer to SF58 CPD guidelines.
<b>Auditee Feedback Report</b>	Optional ( <b>SF72</b> )	Yes ( <b>SF72</b> ) Acceptance criteria: At least one per three year cycle, effective for re-registrations commencing <b>August 2010</b> .
<b>Auditor Code of Conduct</b>	No	Yes ( <b>SF29</b> )
<b>Updated CV</b>	No	Yes
<b>ISO 19011 self declaration</b>	Yes (SF148)	Yes (only if not submitted for re-registration)
<u>Outcomes</u>	<u>Annual</u>	<u>Three-yearly</u>
	Re-issue of auditor registration card(s). (For auditor, lead auditors and internal auditors).	Re-issue of certificate(s). (For auditor, lead auditors and internal auditors).

## Summary of the Criteria

For complete Scheme criteria please refer to [www.saatca.co.za](http://www.saatca.co.za)

### 1 Continuing Professional Development (CPD)

For auditors of all grades the requirement is to have completed at least 45 hours of appropriate CPD during the 3-year period of the renewal of certification. Evidence may include verified CPD log sheets, course or convention programmes, workshop or seminars agendas or copies of training certificates, declarations of self-study, etc. For guidance on the allowable CPD claims, refer to the SAATCA CPD Guidelines - SF58.

### 2 Audit experience

Please record and submit your audit experience on the latest version of the audit log sheets.

Audit logs need to be signed off by either the lead auditor if you are part of a team, or by the auditee to verify the audit. Please note that these logs only need to be completed with the minimum number of audits required for your grade. It is not expected that logs reflect all audits conducted, unless this contributes to maintenance of your grade.

- **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, in the scheme relevant to certification.
- **Auditor grade:** At least two complete audits (minimum of 6 hours each) per year, with a minimum of 6 audit days over the re-certification cycle. These audits shall be conducted in accordance with ISO 19011, in the scheme relevant to certification.
- **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.
- **Provisional auditor:** 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.

### 3 Auditee Feedback

For at least one of the audits over the 3-year cycle, auditee feedback shall be obtained. For Lead Auditors, this feedback shall be where the lead auditor acted as the leader of an audit team or as sole auditor.

Completed positive Auditee Feedback Report.

### 4 Compliance with the SAATCA code of conduct

It is also a SAATCA requirement that a formal declaration be made by the applicant confirming that the applicant has always acted in compliance with the code of conduct. Applicants for re-certification shall complete and submit the applicable application form and a signed Auditor's Code of Conduct