

# Criteria for Certification:

## Training Course Providers

### CRT 6. 12

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## SECTION A –APPLICABLE TO ALL SCHEMES

### 1. INTRODUCTION

#### 1.1. Background

The Southern African Auditor and Training Certification Authority (SAATCA) has developed these criteria to form the basis upon which Training Course Providers (TCP) can be approved by SAATCA to provide management system auditor training courses.

In developing these criteria, SAATCA has taken into account and used as guidance, where appropriate, the requirements of ISO/IEC 17024:2012, ISO/IEC 17021-1:2015 (and equivalent) and ISO 19011:2018

SAATCA reserves the right to amend the criteria as required to ensure compliance with South African legislation and requirements of interested parties.

For further information on SAATCA TCP's approval programme or the SAATCA Criteria, contact:

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For the latest updated information, please refer to [www.saatca.co.za](http://www.saatca.co.za)

#### 1.2. Purpose of these criteria

This document describes the criteria for SAATCA TCP approval and is intended to be used by:

1. Potential applicant TCPs to determine their suitability / readiness for making initial application for SAATCA approval and for maintenance thereof and for ensuring they have the necessary evidence to demonstrate conformity to these criteria
2. The SAATCA TCP evaluators to evaluate TCPs for purpose of registration.

#### 1.3. Definitions, Acronyms, Abbreviations

##### 1.3.1 Abbreviations

CPD	Continuing Professional Development
QMS	Quality Management System
SETA	Sectoral Education and Training Authority
TCP	Training Course Provider
NQF	National Qualifications Framework

##### 1.3.2 Definitions

Facilitator	An individual who facilitates learning processes and activities and manages and administers assessment: educator, teacher, trainer, mentor etc, who has been evaluated by the TCP and found to be competent, and who is a registered Lead Auditor in the scheme of training.
Assessors	A person who is qualified to assess TCP learners, and who can be registered by the relevant ETQA body to measure the achievement of specified National Qualifications Framework standards or qualifications
Moderation	Ensuring that assessments have been conducted in line with agreed practices, and are fair, reliable and valid. The generic assessor standard registered by SAQA entitled 'Moderate assessments' outlines the process in detail. One moderator usually checks the work of several assessors to ensure consistency. The management of moderation is the responsibility of the provider
Moderator	a person who reviews examination papers to ensure consistency, or otherwise oversees an examination.
Outcome	Contextually demonstrated end product of the learning process (previously referred to as learning objectives)

Assessment	The process of collecting evidence of learners' work to measure and make judgments about the achievement or non-achievement of specified National Qualifications Framework standards or qualifications, including the continuous/formative assessment and the summative assessment examination
Formative	Assessment that takes place during the process of learning and teaching
Summative	Assessment for making a judgement about achievement. This is carried out when a learner is ready to be assessed at the end of a programme of learning
Sectorial scope /	
Technical area	Area characterised by commonalities of processes relevant to a specific type of management system. SAATCA registers auditors for specific sectors in certain schemes, for example Food Safety, Environmental Management and Energy Management.

**References** Any standard or legislative references relate to the current published version.

#### **1.4. Programme Objectives**

All SAATCA TCP approval is for training based on ISO 19011:2018 and ISO/IEC 17021-1:2015.

The TCP shall:

- a) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- b) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.

This programme forms an integral part of the SAATCA criteria for all the various auditor certification schemes to ensure that auditors gain knowledge as defined in these standards.

These criteria are intended for all Auditor/ Lead Auditor courses that relate to any of the SAATCA active auditor certification schemes.

Participation in this programme is voluntary and open to all TCPs that present management system auditor/lead auditor training courses. TCPs that are approved by SAATCA have demonstrated that they comply with the requirements to:

- a) Administer and manage the provision of auditor training courses in conformity with acceptable management system processes such as those defined in the relevant ISO/IEC standards, and the SAATCA criteria.
- b) Provide suitably qualified facilitators for the presentation of the relevant courses.
- c) Demonstrate, as required from time to time, continued conformity with this criteria.

A SAATCA approved TCP is authorized to present a "Certificate of Successful Completion" of an approved SAATCA auditor training course and understanding and implementation training course.

## **2. TCP APPROVAL**

### **2.1. Requirements**

The detailed requirements for TCP approval are included in subsequent sections of these criteria, and are summarised within the following areas:

- a) Demonstrable quality management system (QMS) conforming to selected requirements. Refer Section 4.
- b) Course material & associated documentation requirements. Refer Section 5
- c) Instruction Team: Facilitators, assessors and moderators. Refer Section 6
- d) Course presentation management and administration. Refer Section 7.
- e) Learner assessment. Refer Section 8.
- f) Learning outcomes (Scheme specific) Section B.

## 2.2. Responsibilities

**TCP Scheme Committee:** Tasked to establish the requirements contained in this criteria and for the oversight of TCP approval, for example review and decision on appeals and technical queries related to training.

**Technical Management Committee (TMC):** To keep the SAATCA technical work under review, to examine and coordinate all proposals for amendments and to approve appropriate revisions.

To approve criteria for schemes, provided the minimum criteria are satisfied (Refer ACR 5.4 Scheme Committees)

**TCP Evaluators:** The responsibility and authority to carry out evaluations, reviews and certification recommendations is delegated to the SAATCA Evaluation Committee for Training Course Providers according to CPR 3.2 Evaluation of Training Course Providers

**SAATCA:** The evaluation process shall be administered and managed by SAATCA. The Certification manager manages the TCP evaluation processes to ensure compliance against these criteria, in accordance with defined procedures, including:

CPR 3.1 Processing Applications of Training Course Providers

CPR 3.2 Evaluation of Training Course Providers

CPR 3.3 Suspension and Withdrawal of Training Course Provider Approval

## 2.3. Approval Process

### 2.3.1 Components of approval

SAATCA shall use the following three components to evaluate and approve TCPs:

- a) Evaluation of the TCP's management system based on ISO 9001:2015
  - o Evaluation of documentation may be carried out on, or off site
  - o Evaluation of implementation and effectiveness shall be carried out on-site at the TCP facilities
- b) Evaluation of the course content/material, outcomes and NQF levels
  - o Evaluation of course material documentation may be carried out on, or off site
- c) Evaluation of the course presentation, assessment and administration
  - o Evaluation of the presentation, structure and learner assessment of each course offered
  - o Evaluation of the management of the course
  - o Evaluation shall be carried out on-site at the TCP facilities or at the venue where the course is being presented.

### 2.3.2 TCP Submissions

All TCP's applying for approval from SAATCA will be required to submit the following:

- a) Completed and signed application form (SF74) which must be accompanied with the current fees available from SAATCA website
- b) Completed and signed code of conduct (SF29)
- c) TCP management system procedures as defined in this criteria document - CRT 6.12.
- d) Training course material, for each course for which application is made.
- e) Training course schedules, for each course for which application is made.
- f) Copy of the procedures for the effective administration of the course and outcome assessment.
- g) Evidence of qualified facilitators and assessors (e.g. CV, certificates and /or SETA ETQA Report and confidentiality agreements for contractors).

- h) Copy of any other documentation applicable to the course of TCP.
- i) Three exam papers
- j) Tax clearance, CIPRO letter and letter of good standing
- k) Other (which may be specified by the TCP or by SAATCA from time to time)

The above requirements for TCP registration may either be provided to the SAATCA office, or made available for use by the evaluator/s during an arranged TCP site visit evaluation.

### **2.3.3 Validity of TCP Approval**

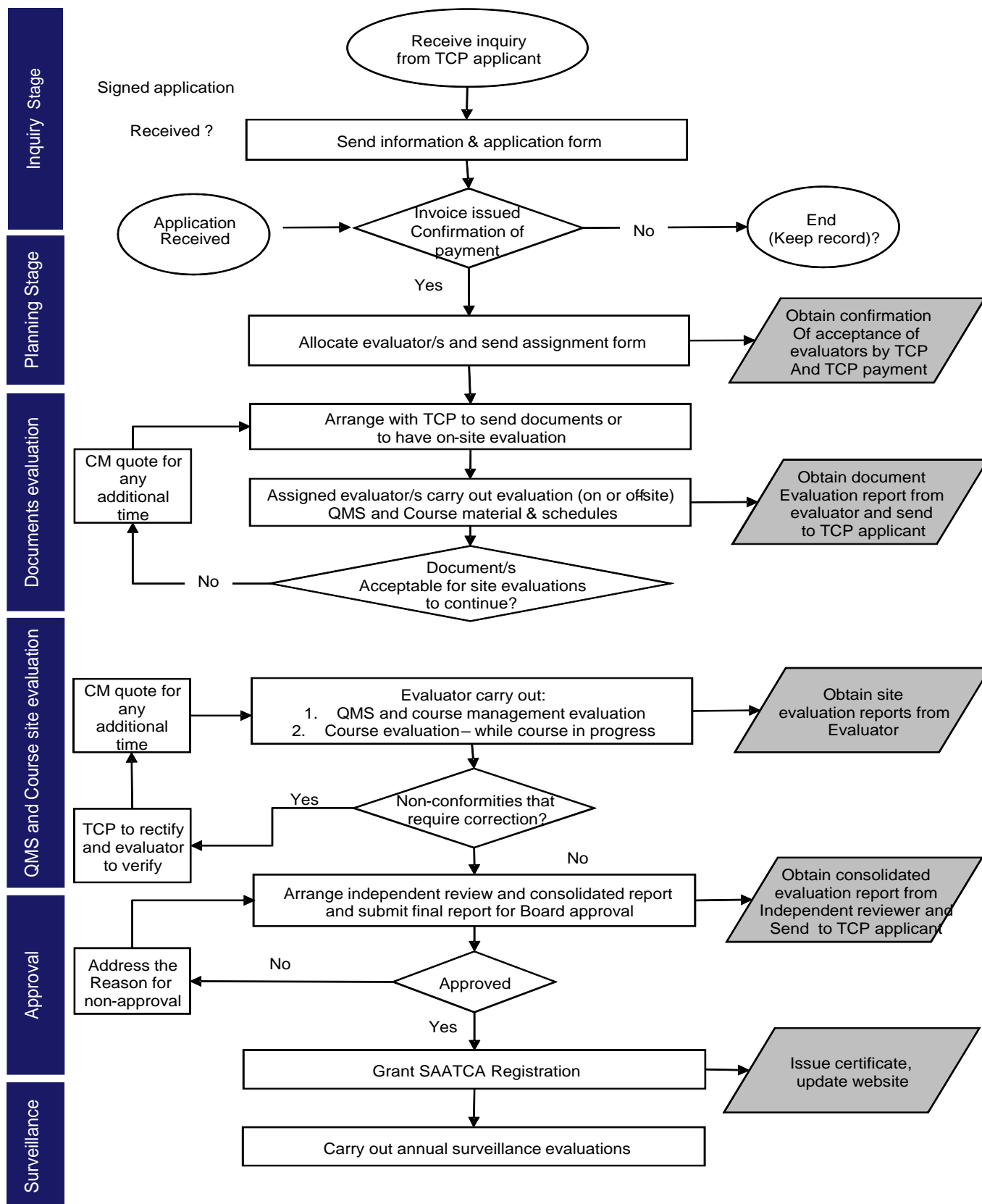
Approval shall be granted for 3 years subject to annual fees, re-registration and successful annual surveillance. To ensure conformity SAATCA reserves the right to conduct additional evaluations.

The approval certificate will be issued annually, on the following conditions:

- a) Successful evaluation
- b) Full payment
- c) Annual submissions.

SAATCA reserves the right to suspend or withdraw the approval of TCP's according to CPR 3.3 Suspension and Withdrawal of TCP Approval

### 2.3.4 TCP Approval Process Flow Diagram





## **2.4. ISO 9001:2015 Certification, SETA, Learning Quality Assurance or Other Accreditation**

While ISO 9001:2015 quality management certification, SETA accreditation or another body recognised by SAATCA is not a minimum requirement of the SAATCA TCP criteria, TCPs are encouraged to consider these options.

For TCPs who do have ISO 9001:2015 certification or SETA accreditation, the SAATCA evaluation of the quality management system shall be **reduced** and include **only** the confirmation that the ISO 9001:2015 management system, course material and training presentation and management includes the requirements specified in these Criteria and that they are effectively managed.

## **3. LEARNING OUTCOMES**

### **3.1. Generic and Scheme Specific Outcomes**

Each TCP shall ensure that their courses address the learning outcomes of the generic and the applicable scheme specific criteria.

TCPs may be registered for one or more of the following auditor/lead auditor courses:

### **3.2. Full Auditor/Lead Auditor Five Day Course**

This course addresses all the learning outcomes according to these criteria.

### **3.3. Internal Auditor Three Day Course**

This course addresses the learning outcomes applicable to internal auditing.

### **3.4. Conversion Auditor/Lead Auditor Two Day Course**

This course addresses all the learning outcomes to bridge:

- a. between the three day and the five day courses
- b. from an existing SAATCA scheme/discipline registration to another.

### **3.5 Understanding & implementation training course Three days for all schemes.**

This training address all the learning outcome for understanding and implementation of the system.

Note for updating of individual scheme auditor criteria to align to 3.2/3.3/3.4 above:

**Auditor Training Requirement for extension to an additional SAATCA scheme / Discipline:**

3 day training, with examination according to CRT6.12

## **4. MANAGEMENT SYSTEM**

### **4.1. Quality Management System (QMS)**

- 4.1.1 The TCP shall operate a formal quality management system based on ISO 9001:2015.
- 4.1.2 The Quality Management System may be approved by a SETA or an Accredited Body, or by a Higher Learning Quality Assurance Body or another body recognised by SAATCA, in which case the SAATCA evaluation of this will be reduced.
- 4.1.3 Systems not approved as above will require full evaluation and acceptance by SAATCA in accordance with this criteria document.
- 4.1.4 The TCP's formal management system shall meet the applicable requirements of ISO 9001:2015, as correlated to these criteria in 4.2.below and the following:
  - a) Roles and responsibilities – defined roles with regards to the management system and provision of training (refer ISO 9001:2015, 5.3)
  - b) Provision of training related infrastructure and work environment (refer ISO 9001:2015, 7.1.3 and 7.1.4)
  - c) Customer satisfaction (learners and/or client) (refer ISO 9001:2015, 9.1.2)

- d) Internal audits (refer ISO 9001:2015, 9.2)
- e) control of nonconforming training services (refer ISO 9001:2015, 8.7)
- f) corrective action (refer ISO 9001:2015, 10.2)
- g) Actions to address risk and opportunities (refer ISO 9001:2015, 6.1)

## **4.2. Administrative Procedures**

4.2.1 The TCP shall develop and maintain documented procedures for the effective administration of auditor training courses. Areas covered shall include:

- a) the design, development and evaluation of course materials and documentation to ensure conformity with SAATCA criteria (also refer ISO 9001:2015, 8.3)
- b) the presentation of the course (also refer ISO 9001:2015, 8.5.1)
- c) the verification of prerequisite knowledge of learners
- d) the control of course publicity and advertising (7.5.2)
- e) a document control system for maintaining the currency of procedures and course notes (also refer ISO 9001:2015, 7.5)
- f) the selection of, and on-going training programs for facilitators, including witnessing and evaluation annually (also refer ISO 9001:2015, 7.1.3)
- g) management reviews (also refer section below and ISO 9001:2015, 9.3)
- h) records of individual learners and each course offering, including analysis of statistics(also refer section below and refer ISO 9001:2015, 9.1.3)
- i) learner's assessment procedure, including "competent/not yet competent" criteria.
- j) operation and conduct of the examination and re-examination, including security and confidentiality of examination questions and answers and marked papers
- k) issue and withdrawal of certificates
- l) storage and eventual disposal of marked papers and continual/formative assessment records (also refer ISO 9001:2015, 7.5.3)
- m) methods, such as statistical techniques, used to measure at least the following:
  - 1.1. learner assessment (eg competent/not-yet-competent rates, including re-write statistics)
  - 1.2. facilitators performance
  - 1.3. overall course performance
- n) submission of significant changes to the course(s) to SAATCA for review and acceptance before implementation
- o) Nonconformances, complaints and appeals (also refer section below and refer ISO 9001:2015, 10.2)
- p) Property belonging to customers or external providers (refer ISO 9001:2015, 8.5.3)
- q) Control changes for service provision to ensure continuing conformity with requirements (refer ISO 9001:2015, 8.5.6)
- r) Control of nonconforming outputs to prevent their unintended use (refer ISO 9001:2015, 8.7)
- s) Actions to address risk and opportunities (refer ISO 9001:2015, 6.1)
- t) Documented information (refer ISO 9001:2015, 7.5.1, 7.5.2, 7.5.3)
- u) Changes to requirements for services (ISO 9001:2015, 8.2.4)

#### **4.3. Records**

- 4.3.1 The TCP shall maintain records that demonstrate conformity to the requirements of these SAATCA criteria.
- 4.3.2 Records, or translations of the records, shall be maintained in English.
- 4.3.3 Records may be in the form of any medium (hard copy, electronic, etc.).
- 4.3.4 The records for competent/not-yet-competent decisions and for course certificates shall be maintained for at least three years. All remaining records shall be maintained for at least eighteen months unless otherwise specified.
- 4.3.5 These records shall be made available to SAATCA.
- 4.3.6 The records for each course presentation shall include (as applicable):
  - a) venue, dates, related advertisement and promotional literature
  - b) names of: facilitators, assessors, moderators (including substitutions), together with their auditor certification status at the time of that course presentation; trainee facilitators; observers
  - c) identification of the specific issue of the course documentation used
  - d) identification of the examination paper used
  - e) names of all learners who attended the course, together with the continual/formative assessment results and the examination results for each learner
  - f) all copies of marked examination papers and continual/formative assessment forms
  - g) the percentage of learners that successfully completed the course
  - h) name of each learner that took a re-examination, together with the re-examination result for each
  - i) unique identification number of each certificate of successful completion and the name of the delegate to whom it was issued.

#### **4.4. Management Review**

The management of the TCP shall review, as a minimum, at least annually for effectiveness and conformity to SAATCA requirements:

##### **4.4.1 Review input**

The input to the management review shall include information related to the following:

- a) Result of internal and external audits (e.g accreditation body evaluation)
- b) Feedback from candidates and interested parties related to the fulfilment of the criteria and standard.
- c) Safeguarding impartiality
- d) The status of preventive and corrective actions,
- e) Follow-up actions from previous management reviews;
- f) The fulfilment of objectives;
- g) Changes that could affect the management system
- h) Appeals and complaints
- i) course presentation and course design (including changes that affect the course material
- j) administrative procedures
- k) performance of facilitators and future training/CPD needs
- l) analysis of learner feedback and competent/not-yet-competent rates

#### **4.4.2 Review output**

The output from the management review shall include as a minimum decisions and actions related to the following:

- a) Improvement of the effectiveness of the management system and its processes,
- b) Improvement of the services related to the fulfilment of this criteria and standard
- c) Resource needs

4.4.3 Records of reviews shall be retained for at least three years.

#### **4.5. Complaints and Appeals**

- 4.5.1 The TCP shall have documented procedures for managing complaints and appeals against its decisions, including provision for corrective and/or preventive action resulting from root cause analysis to be taken if required as a result of any complaint or appeal.
- 4.5.2 The procedures shall include the potential for involvement of the approval body in unresolved complaints or appeals.
- 4.5.3 The TCP shall inform all learners of the right to make a complaint or an appeal and shall provide written details of the process for doing so, on request.
- 4.5.4 The TCP shall notify each complainant or appellant in writing of the result of the complaint or appeal and of the right to escalate the appeal to SAATCA in the event of an unsatisfactory resolution of the appeal.
- 4.5.5 The TCP shall maintain records of all complaints and appeals, and of their resolution.

#### **4.6. Confidentiality**

- 4.6.1 The TCP shall have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of all information provided by learners, including the results of examinations.
- 4.6.2 Except as required in these criteria, information about a learner shall not be disclosed to a third party without the written consent of the learner; nor shall information about a learner's sponsor be disclosed without written consent of the sponsor.

#### **4.7 Management of Impartiality**

- 4.7.1 The TCP shall document its structure, policies and procedures to manage impartiality and to ensure that the TCP activities are undertaken impartially. The TCP shall have top management commitment to impartiality in training activities. The TCP shall manage conflict of interest and ensure that objectivity of its training activities.
- 4.7.2 The TCP shall act impartially in relation to its applicants or candidates.
- 4.7.3 Policies and procedures for TCP shall be fair among all applicant or candidates.
- 4.7.4 The TCP shall be responsible for the impartiality of its training activities and shall not allow other pressures to compromise impartiality.
- 4.7.5 The TCP shall identify threats to its impartiality on an ongoing basis. This shall include those threats that arise from its activities, from its relationships or from the relationships of its personnel.

#### **4.8 Actions to address risk and opportunities.**

The TCP shall consider internal and external issues and determine the risks and opportunities that need to be addressed as per ISO 9001:2015 6.1.1 and 6.1.2

## **5. COURSE MATERIAL & ASSOCIATED DOCUMENTATION**

### **5.1. Design of course materials**

- 5.1.1 Before designing an **Auditor/Lead Auditor training course** to meet the requirements of this document the TCP should consider the following:
- a) The principal aim of this course is to help students with a background in the specific management system to assess the adequacy of the design, implementation and improvement of the organization's management system
  - b) This course is not intended to be an implementer's course, or one that will create an expert in legislation, or one that will train to an acceptable level a student with no prior knowledge of the standard or of the specific industry
- 5.1.2 Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation
- 5.1.3 Design, development and evaluation of course materials and documentation to ensure conformity to the requirements of:
- o ISO 19011:2018 and ISO/IEC 17021-1:2015
  - o The relevant SAATCA scheme auditor criteria, as applicable to the scheme/s for which SAATCA approval is applicable
  - o The relevant SAATCA scheme TCP criteria, as applicable to the scheme/s for which SAATCA approval is applicable
  - o NQF Level 5 descriptors
  - o Well defined learning outcomes based on these SAATCA approved scheme criteria.

### **5.2. NQF Level learning outcomes**

- 5.2.1 Auditor/Lead auditor training shall be provided at NQF Level 5 or higher with the examination set at NQF Level 5. TCP's conforming to the rest of these CRT 6.12 requirements are deemed to be presenting the course at NQF level 5.
- 5.2.2 NQF Level 5 Descriptors
- a) Scope of knowledge, in respect of which a learner is able to demonstrate an informed understanding of the core areas of one or more fields, disciplines or practices, and an informed understanding of the key terms, concepts, facts, general principles, rules and theories of that field, discipline or practice
  - b) Knowledge literacy, in respect of which a learner is able to demonstrate an awareness of how knowledge or a knowledge system develops and evolves within the area of study or operation
  - c) Method and procedure, in respect of which a learner is able to demonstrate an ability to select and apply standard methods, procedures or techniques within the field, discipline or practice, and to plan and manage an implementation process within a well-defined, familiar and supported environment
  - d) Problem solving, in respect of which a learner is able to demonstrate an ability to identify, evaluate and solve defined, routine and new problems within a familiar context, and to apply solutions based on relevant evidence and procedures or other forms of explanation appropriate to the field, discipline or practice demonstrating an understanding of the consequences
  - e) Ethics and professional practice, in respect of which a learner is able to demonstrate an ability to take account of, and act in accordance with prescribed organisational and professional ethical codes of conduct, values and practices and to seek guidance on ethical and professional issues where necessary
  - f) Accessing, processing and managing information, in respect of which a learner is able to demonstrate an ability to gather information from a range of sources, including oral, written or symbolic texts, to select information appropriate to the task, and to apply basic processes of analysis, synthesis and evaluation on that information

- g) Producing and communicating information, in respect of which a learner is able to demonstrate an ability to communicate information reliably, accurately and coherently, using conventions appropriate to the context, in written and oral or signed form or in practical demonstration, including an understanding of and respect for conventions around intellectual property, copyright and plagiarism, including the associated legal implications
- h) Context and systems, in respect of which a learner is able to demonstrate an ability to operate in a range of familiar and new contexts, demonstrating an understanding of different kinds of systems, their constituent parts and the relationships between these parts, and to understand how actions in one area impact on other areas within the same system
- i) Management of learning, in respect of which a learner is able to demonstrate an ability to: evaluate his or her performance or the performance of others and to take appropriate action where necessary; and take responsibility for his or her learning within a structured learning process and to promote the learning of others
- j) Accountability, in respect of which a learner is able to demonstrate an ability to account for his or her actions, to work effectively with and respect others, and, in a defined context, to take supervisory responsibility for others and for the responsible use of resources where appropriate

### **5.3 Course Content**

5.3.1 The course content shall cover:

- a) All generic and applicable scheme specific learning outcomes
- b) Local requirements, culture, practice or approaches to auditing and the application of the specific management system standard as appropriate

5.3.2 The course material and outcomes shall comply with the scheme specific content requirements. Refer to Section C for scheme specific TCP applicable criteria.

5.3.3 The course material shall include the SAATCA auditor certification process and 1-pager Summary of Requirements for SAATCA Auditor Registration (Refer to (SF129).

5.3.4 The learning outcomes shall encompass both the scheme specific standard (eg ISO 9001, 14001, 22000, etc) and the audit standards, ISO 19011:2018 and ISO/IEC 17021-1:2015.

5.3.5 Where the TCP is applying for accreditation from a SETA, course material must be aligned to the relevant Unit standard, these criteria and applicable assessment tools and methods must be developed.

### **5.4 Generic Learning outcomes**

#### **5.4.1 Management System Requirements**

A learner who successfully completes the course shall be able to demonstrate achievement of the following generic management system auditor learning outcomes

- a) Describe the purpose of a the management system
- b) Explain the purpose and business benefits of the management system.
- c) Explain the purpose and intent of the specific ISO/SANS management system standard (e.g 9001, 14001, etc), and how it relates to the other ISO/SANS family documents including the normative references and available guidance on the application of the elements of the management system standard.
- d) Understand the background to development of the management system standards and the current status of the specific ISO family.
- e) Explain the requirements of the current version of the ISO standard and identify the objective evidence needed to show conformance and effectiveness of the applicable entire management system.
- f) Describe the on-going process of change in the ISO standards, the impact that changes in the applicable ISO standard, ISO 19011:2018 or ISO/IEC 17021-1:2018 may have on the audit process, and the need for auditors to keep up to date.



- g) Describe the structure of the specific ISO MS standard
- h) Understand the various types of documented information and their control.
- i) Evaluate the differing needs for documented information in a variety of situations.
- j) Describe the difference between auditable standards and guidance documents.
- k) High Level Structure (ISO requirements for management system standards – core text and definitions), as and when each of the ISO/SANS management system standards are updated in accordance with this structure.

#### **5.4.2 Legal and Other Requirements**

A learner who successfully completes the course shall be able to:

- a) Describe the difference between legal compliance and conformance with the applicable ISO/SANS standard, and the significance of these terms when conducting audits.
- b) Be able to understand and audit the legal and any other requirements to which the organization subscribes which relate to the scope of the management system, including verification of the adequacy of implementation thereof, e.g. rulings, applications, etc.
- c) Be able to understand and audit the influence of changes in legal and other requirements.
- d) Ability to reference statutory and regulatory requirements relevant to the specific management system. This should include an overview of relevant international treaties and agreements.

#### **5.4.3 SAATCA Requirements**

A learner who successfully completes the course shall be able to:

- a) Summarize the SAATCA Criteria for Certification (SF129 Summary of Requirements for SAATCA Auditor Registration) of the specific Management System Auditors, national and other auditor certification programs.
- b) Explain the SAATCA Auditors' Code of Conduct.
- c) Understand the sectorial (technical areas) registrations available for the scheme

#### **5.4.4 Managing the audit programme**

A learner who successfully completes the course shall have knowledge of the requirements for the person responsible for managing the audit programme, including:

- Establishing the audit programme objectives
- Establishing the audit programme
- Implementing the audit programme
- Monitoring the audit programme
- Reviewing and improving the audit programme

A learner who successfully completes the course shall be able to:

- a) Explain the structure and content of the audit programme
- b) Describe the audit process and auditing principles, terms and definitions, methodology and good practice as described in ISO 19011:2018 and ISO/IEC 17021-1:2015.
- c) Describe the function of first, second, and third party audits, the similarities and differences, and the varying role of the auditor, the auditee and the client in the audit of each of these.
- d) Suggest what objective evidence might be needed to demonstrate conformance with the specific ISO MS standard requirements
- e) Explain the need for confidentiality during all phases of the audit process.
- f) Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, for example issues of health and safety.

- g) Apply audit methods, including on-site and remote auditing.
- h) Describe and undertake the responsibilities of an auditor and of an audit team leader

#### **5.4.5 Planning the audit**

A learner who successfully completes the course shall be able to:

- a) Initiate the audit
- b) Prepare audit activities, including
  - Plan and organize all aspects of an audit including document reviews and conformance evaluation activities
  - Plan and organize all hazards and risks of an audit including document reviews and audit activities
- c) Explain how the audit objectives shall influence the audit plan
- d) Explain the purpose and significance of the audit scope and criteria, the importance of team competency and the selection of team members, particularly with regard to knowledge of the relevant industry, regulations and legislation.
- e) Explain the structure and content of the auditee's management system; and the audit plan.
- f) Be able to draw up an audit plan appropriate to the objectives and the scope of the audit.
- g) Explain the purpose of pre-audit visits and how to evaluate the desirability or need for such visits.
- h) Identify the pre-audit information required to effectively plan the duration and the resources required to conduct an audit.
- i) Produce tailored checklists for use during an audit.
- j) Explain the use, benefits and potential limitations of a checklist.
- k) Identify considerations for planning an audit of an activity for which there are no documented procedures.
- l) Select audit team members, their interrelationships, particularly with regard to the understanding of applicable MS standards

#### **5.4.6 Conducting the Audit**

A learner who successfully completes the course shall be able to

- a) Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011:2018 and ISO/IEC 17021-1:2015.
- b) Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- c) Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- d) Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- e) Perform document review.
- f) Take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- g) Collect and verify information, and analyse evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- h) Exercise objectivity in the review of evidence collected, based on an understanding and ability to apply knowledge
- i) Communicate during an audit



- j) Understand and explain the role of guides, observers and technical experts
- k) Evaluate an organisation's effective implementation of processes, procedures and methodologies to conform with the specific management system standard with emphasis on the following features: elements of an organization's Management System, policy, processes and procedures, records showing relevant legal and other requirements to which the organization subscribes
- l) Evaluate the continual improvement of the management system's performance and evaluate performance improvement.
- m) Explain how to approach Stage 1 and 2 audits, process audit, including audit of process inputs, outputs and results of the process in terms of outcomes and explain how process measures, objectives and continual improvement would be addressed through such audits.
- n) Explain the differences and commonality in the purpose, scope and conduct of 1st, 2nd and 3rd party and regulatory audits.
- o) Demonstrate the ability to use a checklist effectively and follow audit trails
- p) Gain an understanding of the process, including its purpose, inputs, outputs, controls and related objectives
- q) Generate audit findings, including conformities, non-conformities and non-compliances
- r) Provide feedback to the auditee during the audit
- s) Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture

#### **5.4.7 Reporting, Completing and Following Up the Audit**

A learner who successfully completes the course shall be able to:

- a) Summarize and record the results of an audit and demonstrate the ability to produce concise reports.
- b) Prepare audit conclusions
- c) Recognize and report positive audit findings
- d) Evaluate the significance of non-conformities and non-compliances recorded during the audit and classify them in accordance with the systems defined by the manager of the audit program. (The interpretations taught during the training program shall be acceptable for this evaluation.)
- e) Identify types of objective evidence that may be required to demonstrate effective implementation of corrective and preventive action
- f) Write nonconformity reports based on objective evidence obtained during the course of the audit.
- g) Evaluate proposals for correction and corrective action, proposed in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.
- h) Make recommendations on the acceptability of a management system for certification / registration based on objective evidence obtained during the audit.

#### **5.4.8 Competence and evaluation of auditors**

A learner who successfully completes the course shall be able to understand the requirements for:

- a) Determining auditor competence to fulfil the needs of the audit programme
- b) Establishing the auditor evaluation criteria
- c) Selecting the appropriate auditor evaluation method
- d) Conducting auditor evaluation
- e) Maintaining and improving auditor competence

#### **5.4.9 Certification Audit Process and Responsibilities**

A learner who successfully completes the course shall be able to:

- a) Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies, involved in certification / registration of the specific ISO standard including Stage 1 and 2 (ISO 17021-1:2015)
- b) Explain the purpose of ongoing surveillances and audits
- c) Understand and explain the two-stage initial audit, surveillance audits and the re-certification audit.
- d) Explain the cycle of the audit programme.
- e) Explain how and why the following factors should be considered when establishing the audit programme
  - size of the company
  - the scope and complexity of the MS
  - products and processes
  - demonstrated level of MS effectiveness
  - results of the previous audits
- f) Understand and explain multi sites and how that should be included in the audit programme
- g) Describe the role of the International Accreditation Forum interpretations and guidelines.

#### **5.4.10 Other**

The TCP may develop more detailed learning objectives, as appropriate.

#### **5.4.11 Certificates**

- 5.4.11.1 A certificate of "Successful Completion" shall be provided to each learner who has passed both the written examination (summative assessment) and the continual/formative assessment.
- 5.4.11.2 The design and content of the certificate of "Successful Completion" and the certificate of "Attendance", and any changes thereto, shall be approved by SAATCA.
- 5.4.11.3 The certificate of "successful completion" shall:
  - a) clearly state that the course is recognized by the approval body (SAATCA)
  - b) include the SAATCA logo. (Refer to SAATCA "Rules Governing the Use of the SAATCA Logo".)
  - c) include a unique identification number for each certificate
  - d) clearly show the name and number of the TCP, as it is registered with SAATCA
  - e) identify the course by: course title, course number (if any)
  - f) include the duration (in days) and/or beginning and end dates of presentation of the course (eg 3<sup>rd</sup> to 7<sup>th</sup>)
  - g) include the name and ID of the learner
  - h) include the name of the training facilitator who presented the course
  - i) include a statement that the course is ISO 19011:2018 and ISO 17021-1:2015 based, and include the publication year of the standards (eg. ISO/SANS 19011:2018). Reference to ISO/IEC 17021-1:2015.
  - j) state that the learner named has successfully completed the course
  - k) include all information on a single side of the certificate.

- l) Include for SAATCA auditor application to be made within 3 years from last day of the course.

(If a learner does not register with SAATCA within 3 years the learner must get a refresher training from the SAATCA registered training course provider that issued the certificate.)

- 5.4.11.4 The wording of any certificates of "Attendance" shall make it clearly apparent that the learner has only attended the course. There shall be no implication of successful completion. The SAATCA logo shall not be included on such certificates.
- 5.4.11.5 Learners shall be informed by the TCP that certificates of "Attendance" will not be accepted by SAATCA for application as SAATCA certified auditor.

## **6. INSTRUCTION TEAM – FACILITATORS, ASSESSORS AND MODERATORS**

### **6.1. Class size and number of facilitators versus learners**

- 6.1.1 The maximum number of learners per single facilitator shall not exceed 16. For two facilitators the maximum number of learners shall not exceed 25. Deviation from this can only be approved on concession by the TCP Scheme Committee.
- 6.1.2 Each course offering for more than 16 learners shall be presented by at least two full time facilitators, who shall be actively involved in either facilitation or assessment for the duration of the course. Additional resource people or trainee facilitators may be used for specific subjects or activities; however, the two facilitators remain responsible for the entire course offering.
- 6.1.3 The minimum number of learners in a class shall be four.
- 6.1.4 Under rare and exceptional circumstances, a course offering for fewer than four learners or more than twenty five learners may be considered for approval in accordance with section: Variations.
- 6.1.5 Learners shall be required to be in attendance for the full duration of the course. Failure to do so shall be reflected in the learner's continual (formative) and final (summative) assessment examination.

### **6.2. Facilitators**

- 6.2.1 The lead Facilitator shall be a valid SAATCA certified Lead Auditor (or alternative equivalent approved by SAATCA), in the relevant scheme/discipline. Any second facilitator shall be a valid SAATCA certified (or alternative equivalent approved by SAATCA), Auditor. SAATCA shall be informed about the identity of these facilitators.
- 6.2.2 Assessors shall have successfully completed assessor training, or provide proof of evaluated competence as assessors and shall be Lead Auditors (or alternative equivalent approved by SAATCA) or in the relevant discipline.
- 6.2.3 Moderators shall have successfully completed moderator training and registered with ETDP, or provide proof of evaluated competence as a moderator.
- 6.2.4 The TCP shall continuously ensure all facilitators have the following competencies
- a) provide evidence of competence be thoroughly experienced in the principles and practices of auditing management systems relevant to the content of the course(s) they instruct, ie subject matter experts
  - b) ability to facilitate the learning of appropriate auditing knowledge, and the development of auditing skills
  - c) ability to teach, and familiarity with the current course materials and documentation
  - d) knowledge of current auditing practices and of relevant standards
- 6.2.5 Before allowing facilitators to present a course, TCP's shall first ensure that they have acquired the competencies as defined above and provide evidence
- 6.2.6 Outside of South Africa, an interpreter shall be provided for each facilitator who does not speak the language of the learners.
- 6.2.7 The TCP shall have documented procedures that ensure that all facilitators meet the TCP's competence requirements and maintain satisfactory performance. These procedures shall include review, at least

annually, of each facilitator's performance. Records of these reviews shall be maintained by the TCP. Where there have been no previous presentations of a course (i.e., where the TCP is seeking initial approval), the TCP shall have documented evidence of fulfilment of the competence requirements of the facilitators before the initial presentation.

### **6.3 Declaration of interest**

- 6.3.1 Assessors and moderators shall declare interest at any given time by completing the SAATCA SF122 declaration of conflict of interest.
- 6.3.2 Conflict of interest occurs when actions or decisions that is influenced by, or perceived to be influenced, including:
- A family relationship or personal/emotional relationship/antagonism
  - A direct or indirect financial interest in a decision regarding the attendee
  - Any affiliation, with the employer or Authority of the attendee that may influence impartiality
- 6.3.3 It should also be noted that the above is to provide guidance in recognizing conflict of interest but that other conflicts not stipulated above but important to declare to insure impartiality, shall also be declared.
- 6.3.4 It is the responsibility of the TCP to ensure that the facilitator sign SF122 prior to training. Each training register must be accompanied by the declaration from the facilitator.

### **6.4 Requirements for Examiner**

- 6.4.1 Examiner shall meet the requirements of SAATCA. The selection and approval processes shall be ensure that examiners:
- a) understand the relevant certification scheme;
  - b) are able to apply the examination procedures and documents;
  - c) have competence in the field to be examined;
  - d) are fluent, both in writing and orally in the language of examination; in circumstances where an interpreter or a translator is used the TCP shall have procedures in place to ensure that it does not affect the validity of the examination.
  - e) have identified any known conflicts of interest to ensure impartial judgements are made.
- 6.4.2 The TCP shall monitor the performance of the examiner and the reliability of the moderators' judgements. Where deficiency is found corrective actions shall be taken.
- 6.4.3 If an examiner has a potential conflict of interest in the examination of a candidate, the TCP shall undertake measures to ensure that the confidentiality and impartiality of the examination are not compromised.

### **6.5 Requirements for other personnel involved in the assessment.**

- 6.5.1 The TCP shall have a documented description of the responsibilities and qualifications of other personnel involved in the assessment process (e.g invigilators)
- 6.5.2 If other personnel involved in the assessment have a potential conflict of interest in the examination of a candidate, the TCP shall undertake measures to ensure that confidentiality and impartiality of the examination is not compromised. These measures shall be recorded.
- 6.6 Security
- 6.6.1 The TCP shall develop and document policies and procedures necessary to ensure security throughout the entire training process and shall have measures in place to take corrective actions when security breaches occur.
- 6.6.2 Security policies and procedures shall include

- a) the locations of the materials (e.g. transportation, electronic delivery, disposal, storage, examination centre)
- b) the nature of the materials (e.g. electronic or paper)
- c) the steps in the examination process (e.g. development, administration, results reporting)
- d) the threats arising from repeated use of examination materials

## **7. COURSE PRESENTATION MANAGEMENT AND ADMINISTRATION**

### **7.1 Course Material Handouts**

- 7.1.1 Each learner shall be provided with a complete set of course notes including course outcomes to supplement the training program.
- 7.1.2 The documents included in the course notes shall themselves illustrate good organization, layout and document management practices, including document revision level and appropriate page numbering.
- 7.1.3 The set of course notes shall prominently identify the approved TCP (e.g., the cover page).
- 7.1.4 The learner notes shall cover each session and shall include all important points of the element being covered.
- 7.1.5 Examples of typical documents, reports and forms shall be included.
- 7.1.6 Course notes may include typical examination questions, provided they are not used in any of the examinations, either during the course or following the course.
- 7.1.7 Each learner shall have access to the current revision of the relevant scheme standard (eg ISO 9001:2015, ISO 14001:2015) and to content of ISO 19011:2018.

### **7.2 Facilities**

- 7.2.3 The TCP shall ensure that suitable facilities for training are provided, including classroom, audio-visual and other training equipment, and facilities for team activities.
- 7.2.4 Facilities shall include suitable pr
- 7.2.5 otection of confidential information including examination papers.

## **8 LEARNER TRAINING AND ASSESSMENT**

### **8.1 Pre-requisite requirements**

- 8.1.1 The learner has completed secondary education or equivalent.
- 8.1.2 A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three-days on the standard applicable ie. ISO 9001:2015/14001:2015 etc, before enrolment to the Lead Auditor/Auditor/Internal Auditor course.

### **8.2 Duration and Organization**

- 8.2.1 The total course time devoted to direct instruction of an assigned team and individual activities shall be at least 36 hours including exam. This time excludes the basic understanding and implementing of the management system standard (eg ISO 9001:2015, 14001:2015, etc) standard which forms part of the pre-requisite training but includes the auditing application of the management system standard. If the course is given through interpreters, the time shall be increased as required to meet the learning outcomes.
- 8.2.2 The Lead Auditor/Auditor course shall be presented during five consecutive days, unless otherwise authorized by the approval body.
- 8.2.3 The Internal Auditor/Understanding and implementation training shall be presented during three consecutive days, unless otherwise authorized by the approval body.

### **8.3 Training Methods**

- 8.3.1 Training courses shall be designed to have interaction between learners and facilitators. Training methods shall seek to involve and engage learners throughout the duration of the course.
- 8.3.2 The training course shall include both knowledge-based sessions (to facilitate understanding of concepts) and skill-based sessions (application of knowledge and skills in practical activities) and each learner shall be subjected to realistic scheme specific management system audit practices and conditions.

- 8.3.3 Knowledge-based sessions may be facilitator led, but shall allow for some interaction with learners, enabling facilitators to test learning and learners to clarify their understanding, as required.
- 8.3.4 Skills-based sessions may be supported by facilitator input to address the relevant requirements and techniques such as for managing meetings and interviews.
- 8.3.5 Methods for validating learner achievement of the learning outcomes and for providing timely feedback shall be included in the course (e.g case studies).
- 8.3.6 Each learner shall be required to participate in practical skills-based activities: workshops, case studies, auditor role-playing or actual scheme specific management system audit situations. At least 50% of course time shall be used for such activities.
- 8.3.7 When learners participate in actual audit situations as part of the course, two-thirds of the time spent conducting such audits shall count towards the total course time. Transit time to and from the audit site and any delay time is not to be counted.
- 8.3.8 Facilitators shall demonstrate effective management of the course, including attention to time schedule, course content, requirements of the standard, facilitator conduct, and other course requirements.
- 8.3.9 The facilitators may use training aids, such as Audio Visual Media that are directly relevant to supplement the training. These may include commercial training videos or videos produced during the course to record and review the performance of learners. No more than three hours of the total course time may be devoted to non-interactive, passive training aids.

#### **8.4 Assessment of Learners**

- 8.4.1 Each learner shall be evaluated using the following two independent elements, both of which shall be satisfied if the learner is to successfully complete the course:
  - a) the continual/formative assessment (which for an SETA accredited TCP would form part of the Formative Assessment) by the facilitators/trainee facilitators of each learner's achievement of the learning outcomes detailed in the applicable Scheme Specific Section B; and
  - b) a written examination (which for an SETA accredited TCP would form part of the summative assessment) that tests learners' ability to apply audit principles and practices against the requirements of scheme specific standard and ISO 19011:2018 and ISO/IEC 17021-1:2015.

#### **8.5 Continual/Formative Assessment**

- 8.5.1 The continual/formative assessment shall be documented and shall evaluate each learner's achievement of the learning outcomes including, but not limited to the learning outcomes given in these criteria and attendance and punctuality during the course.
- 8.5.2 Each learner's performance shall be reviewed at the end of each day by the facilitator(s). A daily grade shall be assigned for each learner, reflecting the assessment of all applicable facilitators. The TCP shall ensure that competent/not-yet-competent criteria are clearly stated.
- 8.5.3 Course facilitators shall identify learners who appear to be having difficulty in achieving the learning outcomes and who are not performing adequately in course activities. Such learners shall be informed privately and in a timely manner of the facilitator's observations and be given the opportunity to improve
- 8.5.4 A learner who is not successful in the continual/formative assessment must satisfactorily complete another full training course before being eligible to receive a certificate of successful completion. In the case of a SETA Accredited TCP, the guidelines for a not-yet- Competent outcome must be followed

#### **8.6 Written Examination (Summative Assessment) for all courses**

- 8.6.1 The written examination shall evaluate the learners' comprehension of the learning outcomes and in particular the application of audit principles and practices, ISO 19011:2018 or ISO/IEC 17021-1:2015, to the scheme specific standard (eg ISO 9001, 14001, 22000, etc and their ability to provide written justification of their evaluations.
- 8.6.2 The examination shall be designed to be completed in two and a half (2.5) hours by a learner who has adequate comprehension of the course content and who has achieved the course learning outcomes and shall comply with the following **Principles of good assessment practice**:
  - a) Fairness



- b) Validity
- c) Reliability
- d) Practicability

In the case of a SETA Accredited TCP, the Pre-Moderation Report should indicate whether this timeframe complies with these.

- 8.6.3 The time allotted for taking the examination shall be two and a half (2.5) hours. Strict adherence to the time limit is to be maintained.
- 8.6.4 Each learner shall be assessed using the continual/formative assessment and the written exams (summative) assessment, both of which shall be satisfied if the learner is to successfully complete the course.
- 8.6.5 The facilitator(s) or invigilator may allow a learner whose primary language is not the language in which the course is conducted up to 30 minutes additional time for taking the written examination. The learner may use an appropriate two language dictionary. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.
- 8.6.6 The facilitator(s) or invigilator) may allow a learner with a particular disability that adversely affects the learner's capability to complete the examination in the allotted time up to 30 minutes additional time for taking the written examination. Any such allowance shall be indicated in the records of the course or of the examination, with supporting reasons.
- 8.6.7 At least 75% of the examination grade shall be based on questions that require essay responses and shall demonstrate the learner's ability to analyse audit scenarios and understanding of how to apply the scheme specific standard during an audit.
- 8.6.8 The remainder of the examination grade shall be based on multiple choice or, true/false or, short answer questions.
- 8.6.9 The minimum passing grade for all schemes shall be 70% for the following courses: understanding & implementation, Auditor, Internal Auditor and Lead Auditor course.
- 8.6.10 The exam/assessment is open book and the following reference material is permitted during the examination: scheme specific management system standard, (eg ISO/SANS 9001, ISO 45001:2018, etc); ISO 19011:2018 and/or 17021-1:2015 the course notes provided by the TCP and any personal notes made by the learner during the course, a dictionary. If legislative requirements are included in the paper, copies of applicable legislation may also be included.
- 8.6.11 SAATCA examination requirements are as follows:
  - a) Administration of the examination to be either by the TCP, or by another designated authority and to implement the following controls to prevent fraudulent examination practices:
    - confirm the identity of exam candidates and record this on the exam paper
    - ensure that candidates to sign a non-disclosure agreement included in the exam paper
    - ensure an invigilator or facilitator/assessor is present at all times during the exam
    - ensure that no cell phones or any photographic devices are permitted
    - ensure that no external communication shall be permitted
  - b) Examination shall take place at the conclusion of the training course, or at some later time, but no later than six months after the conclusion of the training course
  - c) Any exam papers set by the TCP shall be submitted to SAATCA prior to use. For future consideration SAATCA will consider the development of a Database of Questions
- 8.6.12 Copies of examination questions (other than those in an example examination paper during class time), examination papers, solutions or completed examination papers shall not be supplied to any learner or any other party (except to the approval body) for any reason.
- 8.6.13 TCP's shall, where possible, ensure that the facilitator(s) for any given course presentation, and/or any designated authority (see above) are not aware of the examination paper to be used for that presentation.



### **8.7 Assessment: Competent Not yet Competent Decision**

- 8.7.1 When the examination is given by the TCP, each examination paper shall be graded by one of the facilitators/assessor. A Moderator shall check the addition of the score allocated in each section and any anomalies rectified by the facilitator/assessor.
- 8.7.2 Examination papers which score 67% to 71% percent shall be re-graded by a second facilitator/assessor. This grader shall be competent in the discipline of the exam.
- 8.7.3 The TCP shall have procedures to resolve any differences in grading and issue final grades.
- 8.7.4 If the course is given through interpreters, the translators who translate the learners' written examination answers shall be selected by the TCP in such a way that the TCP is confident that they provide impartial, knowledgeable and accurate translations.
- 8.7.5 When the examination is given by a body other than the TCP the above shall also apply.

### **8.8 Re-examination**

- 8.8.1 A learner who scores between 50 and 69% in the written examination, and has been successful in the continual/formative assessment, shall be allowed one re-examination within 12 months. Learners with less than 50% are not permitted to re-write.
- 8.8.2 The re-examination shall normally be conducted by the same body which conducted the first examination. SAATCA may give its approval for a different body to conduct the re-examination. This should be submitted to SAATCA as a variation request, which shall only be granted if SAATCA is confident that the examination will be administered according to the requirements above.
- 8.8.3 A different examination paper shall be used for the re-examination.
- 8.8.4 The re-examination shall be taken in the presence of an approved invigilator as described in the examining body's procedures.
- 8.8.5 A learner who does not achieve a minimum of 70% for the re-examination is required to take a full training course again before being eligible to take another examination.

## **9 TCP PERFORMANCE CRITERIA**

- 9.1 Every approved TCP will be required to provide SAATCA with Annual submissions of the following information:
  - a) Total number of courses presented.
  - b) Total number of learners.
  - c) Competent/Total learners' ratio indicated in percentage.
  - d) Ratio of exam re-writes and re-write pass rates.

## **10 SAATCA APPROVAL MANAGEMENT**

### **10.1 Notification of Changes / Notifiable Changes - SF 56**

- 10.1.1 Notifiable changes are significant changes to a TCP's circumstances that can affect the organisation's state of compliance with SAATCA, regulatory or legal requirements.
- 10.1.2 By making application to SAATCA for approval, all TCP's commit to notifying SAATCA of any changes that can affect the TCP's state of compliance with SAATCA, regulatory or legal requirements.
- 10.1.3 The following are examples of changes which could be considered significant, and therefore may require a special audit or evaluation by SAATCA for continued validity of certification.
  - a) Organizational changes

- Changes to the organizations management system:
  - Changes to management structure.
  - New ownership.
  - Relocation of activities or controls to a new site.
  - Centralization or decentralization of activities.
- b) Significant changes to the organization's processes.
- c) Changes to the authority of the management representative, that impact on:
- Management system effectiveness or regulatory compliance.
  - The capability and authority to assure service integrity.
- d) Changes to the organization's operational scope (scope of registration, eg addition or reduction of scope of training).
- e) Changes of/to Facilitators - Changes to number, names or lead auditor registration status of facilitators
- f) External Factors, for example: available post-market information indicating a possible significant deficiency in the management system, course contents or TCP performance.
- g) Changes in critical suppliers
- 10.1.4 The TCP shall ensure that any major changes it intends to make to the training course are first approved by SAATCA. Depending on the nature of the changes, SAATCA may require re-approval of the course materials and/or the TCP's administrative system.
- 10.1.5 Following a decision on, and publication of changes, the TCP shall verify that each of its course facilitators carries out any necessary adjustments to the course and materials within the first presentation of the changed course.
- 10.1.6 The TCP shall notify SAATCA of any change of address or any significant changes in organization structure or provision of services.
- 10.1.7 Should a TCP make use of an alternative facilitator, SAATCA must be notified before the course. The TCP must ensure that the facilitator complies with the requirements as set out in this document.
- 10.1.8 Extension of Scope of SAATCA Approval
- Should an approved TCP want to extend the scope of SAATCA approval, they shall complete an application form (SF 74). SAATCA shall evaluate the training course material and course presentation, but shall not necessarily re-evaluate the management system, unless concerns are identified with regard to the extension scope.

#### **10.2 Use of the SAATCA Logo - SF 48**

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

#### **10.3 SAATCA Complaints, Appeals and Disputes Process - QSP 1.4**

All complaints appeals and disputes from TCPs to SAATCA shall be processed in accordance with QSP 1.4

#### **10.4 SAATCA Fees- SF 55**

All TCP's fees shall be governed by the Training Course Provider Fee Schedule (SF55) which is approved by the SAATCA Board.

#### **10.5 SAATCA Suspension and withdrawal Process – CPR 3.3**

All suspension and Withdrawal of TCP's shall be processed in accordance with CPR 3.3

#### **10.6 Transition**

These criteria will be effective for new TCP applicants upon date of approval by the SAATCA Technical Management Board.

For approved TCPs, there shall be a transition period for them to transition to this version of the criteria. Final transition shall be by 1 year

#### **10.7 Franchising, Licensing or Subcontracting of Courses**

SAATCA approval is not transferable to any TCP's or Joint Ventures (JV's)

### **11 VARIATIONS**

- 11.1 Variations to any of these criteria shall be considered for approval upon written submission by the TCP to SAATCA. Any such requests shall be made immediately upon the reason for the variation request becoming known. SAATCA shall respond in writing.
- 11.2 Should the variation sought be a substantial change to the intent of these criteria, SAATCA shall seek the approval of the Scheme Committee and the TMB before agreeing to it.
- 11.3 When evaluating a request for variance SAATCA shall take into account the TCP's:
  - reasons for the requested variance;
  - rationale for the requested variance;
  - modified training plan and/or revised course outline; and
  - assessment of impact on the learning process.

## **SECTION C: REQUIREMENT FOR ONLINE/ELEARNING TRAINING COURSE**

### **1. Purpose**

The purpose of this document is to provide training course providers with the online / eLearning requirements that needs to be followed when developing the eLearning portal.

The requirements for online/eLearning training is applicable for all training course providers who are converting their conventional classroom (face to face) training course that is registered with SAATCA.

### **2. Applicable Document**

- 2.1 CRT 6.12 Criteria for Certification Training Course Providers.
- 2.2 Act 2 of 2000 The Promotion of Access to Information Act 2 of 2000 (PAIA)
- 2.3 Act 4 of 2013 The Protection of Personal Information Act 4 of 2013 (POPI)
- 2.4 Act 57 of 2002 Disaster Management Act.

### **3. Definitions**

- 3.1 Face to face Learning is synchronous, instructor-led instruction in a defined classroom setting.
- 3.2 Online course is a course that is focused on the use of information and communication technology for learning
- 3.3 eLearning is learning conducted via electronic media, typically on the internet
- 3.4 Synchronous learning is a learning event in which a group of learners is engaged in learning at the same time but a different location.
- 3.5 Asynchronous learning is learning which is facilitated through and electronic medium but does not occur at the same time and place.

### **4. Requirement for Online/eLearning**

- 4.1 This guideline shall be read in conjunction with CRT 6.12 Criteria for Certification Training Course Providers.
- 4.2 This document outlines the requirements that need to be met when developing the online/eLearning course.
  - 4.2.1 **The registered Training Course Provider shall submit the below documents to SAATCA before conducting online training:**
    - a) Application form for online training.
    - b) TCP documented procedure for online training that includes a guideline with snapshot screens of the system on how to use the functionality of the portal.
    - c) If there are amendments made from the face-to-face training manual, the amendment training manual shall be submitted to SAATCA for evaluation and approval.
    - d) Log-in information to allow SAATCA to access the online training system.

**4.2.2 A new Training Course Provider shall provide the following documents.**

- a) Application form.
  - b) Training manual, examination papers and assignments.
  - c) Quality Management documented procedures.
  - d) A guideline with snapshot screens of the system on how to use the functionality of the portal.
  - e) Log-in information to allow SAATCA to access the online training system.
- 4.3 SAATCA shall evaluate the Training Course Provider procedure(s) or guideline(s) after the face to face training manual has been converted into online/eLearning training.
- 4.4 The evaluator shall evaluate the Training Course Provider's online/eLearning course using the output from this requirement and applicable criteria CRT 6.12.
- 4.5 The Training Course Provider shall ensure that when developing the online/eLearning training course, all the requirements of CRT 6.12 Criteria for Certification Training Course Providers are entrenched in the online/eLearning training.
- 4.6 The online/eLearning shall be evaluated and approved by a SAATCA evaluator before the Training Course Provider can provide on line training to the learners.
- 4.7 It is the responsibility of the Training Course Provider to provide SAATCA with the access to their eLearning portal for evaluation.
- 4.8 During the online/eLearning duration, the learner shall communicate with the facilitator on specified days through any available medium such as emails, the portal or telephonically, skype, zoom etc.
- 4.9 Proof of learner participation shall be provided to SAATCA when required.
- 4.10 ISO standards shall be controlled by the Training Course Provider during course duration.

**5. Online Learning Methods**

Online Learning shall be designed to have an interaction between learners and facilitators to engage the online learners in a discussion moderated by the facilitator.

- 5.1 A synchronous and asynchronous learning methods shall be applied individually or in combination to present effective learning programs.

**5.2.1 Synchronous Learning**

- 5.2.1.1 This is a real-time, instructor-led eLearning approach in which all participants are logged on at the same time and communicate directly with each other and the instructor.
- 5.2.1.2 In this virtual classroom setting the instructor maintains control of the class, with the ability to "call on" participants.
- 5.2.1.3 In most platforms, students and instructors can use a whiteboard to see work in progress and share knowledge.
- 5.2.1.4 The interaction may also occur via audio or video conferencing, internet telephony or two-way live broadcasts.

### **5.2.2 Asynchronous Learning**

- 5.2.2.1 Learners can complete their e-learning activities in their own time from any device, eg PC, tablet or mobile phone etc.
- 5.2.2.2 Learners can watch a video, voice over power point presentations or other learning material and
- 5.2.2.3 Utilize a discussion or communication forum to enable the learners to ask questions and get personalized answers.
- 5.2.2.4 Asynchronous Learning approaches shall be guided and planned offering the learners to engage with the instructor and other learners through (an) appropriate medium of media.
- 5.2.2.4 Learners shall get in time feedback from the tutor(s) during the asynchronous learning window.

## **6. Online / eLearning Presentation**

### **6.1 Course content** *(refer to CRT 6.12 par 5.3)*

- 6.1.1 The course content shall cover:
  - h) All generic and applicable scheme-specific learning outcomes
  - i) Local requirements, culture, practices or approaches to auditing and the application of the specific management system standard as appropriate
- 6.1.2 The course material and outcomes shall comply with the scheme-specific content requirements. Refer to Section B for the scheme-specific TCP applicable criteria.
- 6.1.3 The course material shall include the SAATCA auditor certification process and a 1-pager Summary of Requirements for SAATCA Auditor Registration (Refer to (SF129).
- 6.1.4 The learning outcomes shall encompass both the scheme specific standard (e.g. ISO 9001, 14001, 22000, etc.) and the audit standards, ISO 19011:2018 and ISO/IEC 17021-1:2015 (or equivalent).
- 6.1.5 Where the TCP is applying for accreditation from a SETA, course material must be aligned to the relevant Unit standard and these criteria and applicable assessment tools and methods must be developed.

### **6.2 Online / eLearning Site Design (GUI – Graphic User Interface)**

- 6.2.1 Course design must have the same look and feel than the visual design of the site.
- 6.2.2 All elements used in the design must be distinguishable and visible within the chosen colour scheme.
- 6.2.3 An organizational style guide must be used for the design of the GUI and the course.
- 6.2.4 All courses on the site must have a consistent theme in their design.
- 6.2.5 Avoid backgrounds/patterns that may be distracting for the learner
- 6.2.6 All content of the site must fit on the screen of the chosen learning device.
- 6.2.7 Site content must be scalable to fit different learning devices such as personal computers, smart phones and tablets.

### **6.3 Online / eLearning Navigation**

- 6.3.1 The online/eLearning course must be easy to navigate for the learner.
- 6.3.2 The online/eLearning course modules feature in their correct sequence.
- 6.3.3 Hyperlinks display clearly, and all links are working properly.
- 6.3.4 The most frequently used navigation buttons are Menu/Back/Forward/Progress/Calendar/ Help/Search/ Glossary/Resources/Exit.
- 6.3.5 Provide a table of contents and a site map of the course material.
- 6.3.6 Learners navigate through a course by using buttons, tabs or hyperlinks.
- 6.3.7 Navigation must be intuitive and simple to use.
- 6.3.8 A navigable menu must be available for the learner with no more than two (2) levels (Topic and sub-topic).
- 6.3.9 Navigations must be consistent in their placement and function and not be obscured by other text or graphics on the page. It must align with the navigation of other courses on a site.
- 6.10 The structure of the online/eLearning course must feature in the correct sequence, ex. Week/day 1 Introduction and Pre-course learning activity. Week/day 2, Study Unit 1 (Title), Study Unit 2 (Title), Week 3, Study Unit 3 (Title).

### **6.4 Online / eLearning Graphics and Fonts**

- 6.4.1 Use a maximum of four fonts throughout the entire course
- 6.4.2 Body text in the same font and decorative text can only be used in the headers
- 6.4.3 Use dark text against a white background with enough white space to assist learners to scanning the text.
- 6.4.4 Body text must be justified
- 6.4.5 Ensure that there are no spelling and grammar errors or text space inconsistencies.
- 6.4.6 Make consistent use of headers and fonts.
- 6.4.7 Visual design refers to the look and feel of the course, images, text, colour and use of white space.
- 6.4.8 Placement of graphics, icons and fonts are consistently used throughout the site to provide the learner with a mental map of the content.
- 6.4.9 Design is uncluttered and simple.
- 6.4.10 Reduce text burden by using illustrations.
- 6.4.11 Reduce visual scanning by placing text proximal to the describing graphics and illustrations.

## **6.5 Online / eLearning Multimedia**

- 6.5.1 Multimedia files must be compressed for easier download
- 6.5.2 The course must consist of different multimedia elements such as video, audio, images, text and graphics and prescribed material such as standards etc.
- 6.5.3 Audio material must synchronize with related visual presentations in the eLearning course.
- 6.5.4 Ensure that the user can control the audio or visual media, i.e. to pause, play or float it.
- 6.5.5 Adhere to copyright, licensing and plagiarism regulations on multimedia content and resources before using the material in a course or allowing a learner to download material.
- 6.5.6 Audio and videos recordings must have a transcript or use closed captioning.
- 6.5.7 A description must accompany complex graphs and charts.
- 6.5.8 Videos must preferably not be no longer than 10 minutes.
- 6.5.9 Hyperlinks to resources are functioning.
- 6.5.10 The narration is clear and easy to understand.
- 6.5.11 Avoid using jargon and acronyms in narration.
- 6.5.12 Use conversational English in the text but avoid verbatim narration.
- 6.5.13 Present narration and a corresponding animation or image simultaneously.
- 6.5.14 Unfamiliar terms are explained and used consistently during the course.

## **6.6 Online / eLearning Course accessibility and security**

- 6.6.1 The learner creates his or her own username and pass word to log in and log out of the site.
- 6.6.2 Personal information is protected according to The Promotion of Access to Information Act, No. 2 of 2000 (PAIA) and The Protection of Personal Information Act 4 of 2013 (POPI)
- 6.6.3 Adequate user roles and permissions of administrative staff must be controlled to avoid tampering or altering of learner information and marks.

## **6.7 Online / eLearning Technical issue**

- 6.7.1 A FAQ page with hyperlinks supporting the learner with issues relating to registration, payment, technical difficulties, course content, assessments, marks and certification must be provided.
- 6.7.2 All hardware and software requirements and recommendations must be listed.
- 6.7.3 The online/eLearning site must be accessible through all major web browsers and by all possible devices.
- 6.7.4 The eLearning course material must be downloadable and printable.



**7 eLearning Training and Assessment**

**7.1 Pre-requisite requirements**

- 7.1.1 The learner must at least have completed secondary education or equivalent prior to registration for the course.
- 7.1.2 The learner must objectively demonstrate prior knowledge of the relevant standard (ISO 14001, 9001 45001 etc) and the related management system that is equivalent to at least three days of training in understanding and implementation the management system before permission is granted to enrol for the SAATCA registered course.
- 7.1.3 This requirement for prerequisite knowledge must be managed by the TCP and documented information retained.

**8. Duration and Organization** (*refer to CRT 6.12 par 8.2*)

- 8.1 The total course time devoted to direct instruction of assigned team- and individual activities shall be at least 36 notional hours, including the examination. This time excludes the basic understanding and implementing of the management system standard (e.g. ISO 9001, 14001, etc.), which forms part of the pre-requisite training but includes the auditing application of the management system standard. If the course is offered through interpreters, the time shall be increased as required to meet the learning outcomes.
- 8.2 The TCP shall determine, communicate and manage the duration of the course offering on the on-line platform.

**9. Class size and number of facilitators versus learners** (*refer to CRT 6.12 par 6.1*)

**10. Facilitators** (*refer to CRT 6.12 par 6.2*)

**11 Assessment of Learners**

- 11.1 Continual/Formative Assessment (*refer to CRT 6.12 par 8.5*)

**12. Written Examination for eLearning**

- 12.1 No online examination will be written for the Lead Auditor, Auditor, Internal Auditor and Understanding & Implementation courses. The examination shall be written on the premises of the training course provider only or at an approved examination centre. The TCP shall provide SAATCA with the documented requirements for approved examination centres and the record of all such approvals.  
  
All the learners from the same class shall sit simultaneously for the written examination albeit at different approved examination centres.
- 12.2 The examination shall be written at least within thirty days of the last day of the on line course.
- 12.3 The TCP shall ensure that the social distancing is adhered to as per Disaster Management Act, Act 57 of 2002
- 12.4 Other information for written examination (*refer to CRT 6.12 par 8.6*)

**13 Assessment: Competent Not yet Competent Decision** *(refer CRT 6.12 par 8.7)*

**14 Re-examination** *(refer CRT 6.12 par 8.8)*

**15 Declaration of interest** *(refer CRT 6.12 par 6.3)*

**16 Training Course Provider online/eLearning Performance**

Every approved TCP will be required to provide SAATCA with quarterly submissions of the following:

16.1 Learner attendance: system print out, activity log

16.2 Examination booking schedule

16.3 Feedback from learners

16.4 Performance of learner for the duration of the entire course

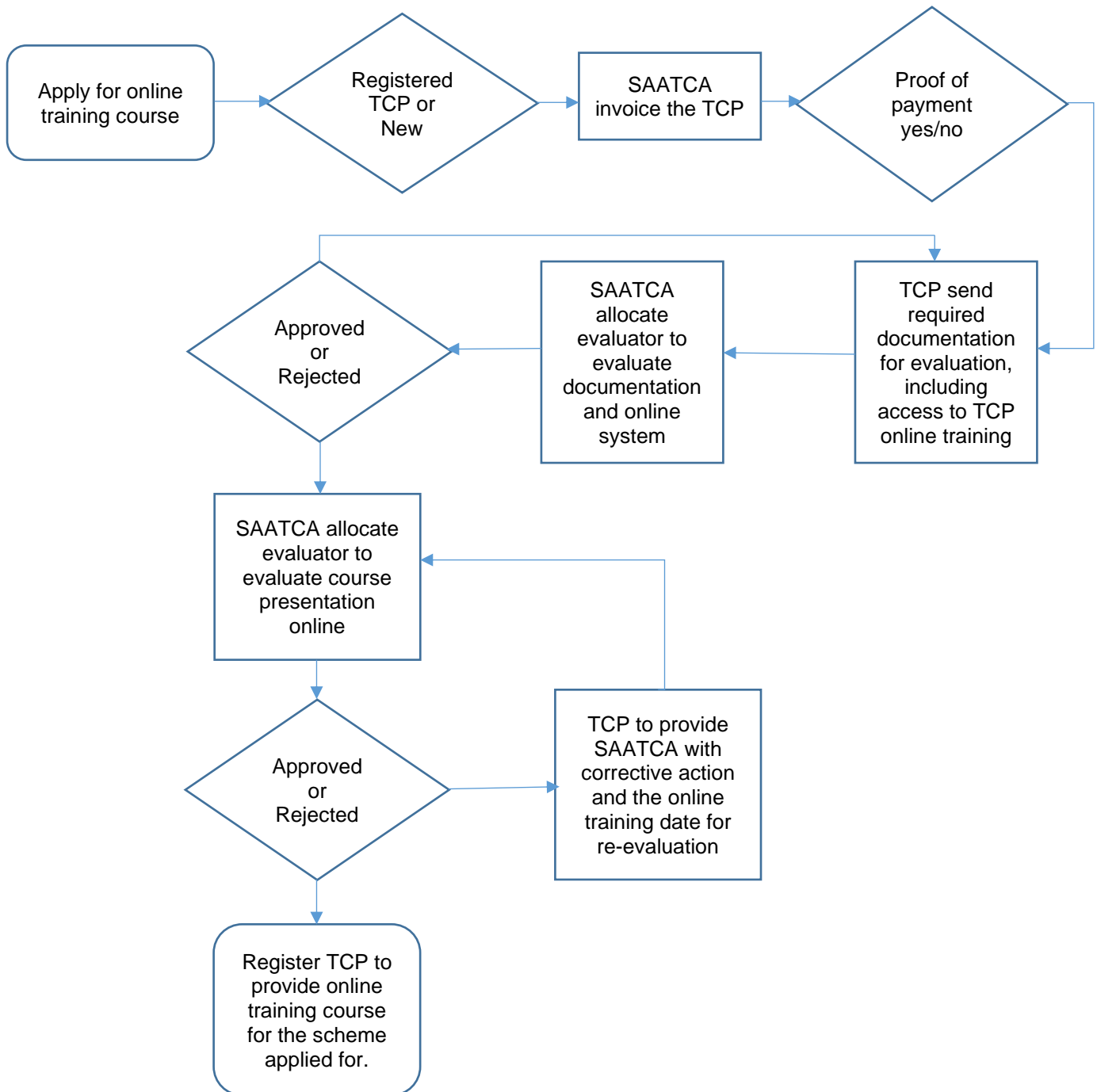
16.5 Facilitator Conflict of Interest (SF122)

16.6 Training register

17 Notification of Changes / Notifiable Changes - SF 56 *(refer CRT 6.12 par 10.1)*

18. Variations *(refer CRT 6.12 par 11)*

### Online Application Process



## **SECTION C: SCHEME SPECIFIC CRITERIA**

### **ANNEX 3-A: SCHEME TCP REQUIREMENTS - QUALITY MANAGEMENT SYSTEM**

#### **LEAD AUDITORS / AUDITORS**

##### **1. INTRODUCTION**

The Quality Management System auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing quality management systems and of audit team management, as described in:

- 1.1 ISO 19011: 2018, Guidelines for auditing management systems;
- 1.2 ISO/IEC 17021-1: 2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (Sections 4. 7 and 9);
- 1.3 ISO/IEC 17021-2: 2016, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 2: Competence requirements for auditing and certification of environmental management systems;
- 1.4 ISO/IEC TS 17023: 2013, Conformity assessment – Guidelines for determining the duration of management system certification audits.

The primary focus of the training course shall be on training learners to audit quality management systems against the requirements of the ISO 9001:2015 standard (or recognized national equivalents) and the organization's own quality management processes.

The TCP shall:

- a) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- b) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.

##### **2. PRIOR KNOWLEDGE REQUIREMENT**

###### **2.1. Knowledge assumed to be in place – ISO 9001: 2015**

**2.1.1.** A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three (3) days related to understanding and implementation to the applicable standard, namely ISO 9001:2015 before enrolment to the auditing course.

##### **3. GENERAL**

These criteria are intended for use by SAATCA and SAATCA registered auditor training course providers (TCP's) for a quality management system lead auditor training course.

##### **4. LEARNING OUTCOMES**

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the following learning outcomes below.

#### **4.1 Concepts of management system auditing**

A learner who successfully completes the course shall be able to:

- 4.1.1 Describe the function of first, second, and third party audits, the similarities and differences, and the varying role of the auditor, the auditee and the client in the audit of each of these.
- 4.1.2 Describe the systems and major role players in third party quality management system certification.
- 4.1.3 Summarize the SAATCA Criteria for Certification of Quality Management System Auditors.
- 4.1.4 Explain the SAATCA Auditors' Code of Conduct.

#### **4.2. Standards and Other Normative Documents**

A learner who successfully completes the course shall be able to:

- 4.2.1 Understand the background to the development of standards.
- 4.2.2 Describe the main role players in the development of National and International standards.
- 4.2.3 Describe the difference between auditable requirement standards and guidance documents.
- 4.2.4 Describe quality management system standards and relevant conformity assessment standards.
- 4.2.5 Provide the information necessary to answer questions from the auditee on the rationale for some of the changes from the 2008 to the 2015 version and be able to describe, in broad terms, the relevance of the ISO Directives, Annex XL and the so called "high level structure" that has influenced a number of the changes.
- 4.2.6 Describe the ongoing process of change in the ISO quality management system standards, the impact that changes in the ISO 9001:2015 and ISO/IEC 17021-1:2015 standards may have on the audit process, and the need for auditors to keep up to date with these developments.
- 4.2.7 Explain the purpose, content and interrelationship of ISO 9000:2015, ISO 9001:2015 and ISO 9004:2009
- 4.2.8 Explain the purpose, content and interrelationship of ISO 19011:2011, ISO 17021-1:2015 and ISO/IEC 17021-3:2013.
- 4.2.9 Explain the purpose, content and interrelationship of other normative documents including those published by the International Accreditation Forum (IAF) related to quality management systems.

#### **4.3 Knowledge and Application**

A learner who successfully completes the course shall be able to:

- 4.3.1 Draw links from the quality management principles contained in ISO 9000:2015 and the implementation of requirements for a quality management system conforming to ISO 9001:2015.
- 4.3.2 Describe the principles of auditing and the principles of certification.
- 4.3.3 Explain the purpose of auditing a quality management system
- 4.3.4 Explain the business benefits of auditing a quality management system.
- 4.3.5 Explain the synergy and concepts of auditing of quality management systems related to Plan Do Check Act (PDCA), the process approach and risk based thinking.
- 4.3.6 Explain the benefits of auditing quality management systems by a third party certification body.
- 4.3.7 Explain the differences in auditing quality management systems and legal compliance audits
- 4.3.8 Explain the context of "technical areas" as described in the ISO/IEC 17021-1:2018 series of standards.

- 4.3.9 Explain the context of “documented information” as described in the ISO 9000:2015 family of standards and differentiate between the requirements to maintain and retain documented information.

#### **4.4 Audit Responsibilities**

A learner who successfully completes the course shall be able to:

- 4.4.1 Explain the need for confidentiality and impartiality during all phases of the audit process.
- 4.4.2 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 4.4.3 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 4.4.4 Differentiate between the scope of an audit and the scope of the quality management system.
- 4.4.5 Describe the basis on which certain clauses of the ISO 9001:2015 requirements may be deemed as “not applicable”

#### **4.5 Audit Process**

##### **4.5.1 Planning the Audit**

A learner who successfully completes the course shall be able to:

- 4.5.1.1 Describe the use of an audit programme and an audit plan. Explain the differences between the two.
- 4.5.1.2 Describe the use of audit programming and planning with reference to 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> party auditing of quality management systems.
- 4.5.1.3 Identify the information required to effectively plan the duration and the resources required to conduct an audit.
- 4.5.1.4 Identify information required to effectively plan multiple site audits or audits of integrated management systems.
- 4.5.1.5 Explain the purpose and significance of the audit scope, the importance of audit team competency and the selection of audit team members, particularly with regard to knowledge of the relevant industry, regulations and legislation.
- 4.5.1.6 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 4.5.1.7 Explain the use, benefits and potential limitations of an audit checklist.
- 4.5.1.8 Produce tailored checklists for use during an audit.
- 4.5.1.9 Identify considerations for planning an audit of an activity for which there are no documented procedures, auditing by electronic means or virtual audits.

##### **4.5.2 Performing the Audit**

A learner who successfully completes the course shall be able to:

- 4.5.2.1 Evaluate, through auditing, an organisation’s effective implementation of processes, procedures and methodologies to conform to the requirements of ISO 9001:2015 with emphasis on the following two features.
  - a) the organization’s need to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements
  - b) the organization’s intentions to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity of products and services to customer and applicable statutory and regulatory requirements.

- 4.5.2.2 Perform an audit in accordance with the principles, processes and methodology as described in ISO 19011:2018 and ISO/IEC 17021-1:2015.
- 4.5.2.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the audit team and auditee during the audit.
- 4.5.2.4 Take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 4.5.2.5 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 4.5.2.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- 4.5.2.7 Present audit findings and recommendations to the auditee.
- 4.5.2.8 Collect and analyse evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- 4.5.2.9 Explain the methodology of audit findings summarizing conformity and detailing nonconformity.
- 4.5.2.9 Explain the purpose of ongoing surveillances and audits.

#### **4.5.3 Detailed audits of quality management systems conforming to ISO 9001:2015**

- 4.5.3.1 Explain the typical role of top management in an audit and suggest approaches for auditing top management leadership and commitment.
- 4.5.3.2 Explain the context of the organization as described in ISO 9001:2015 and suggest approaches to determine conformity of the organization's understanding of internal and external issues.
- 4.5.3.3 Explain the concepts of the involvement of interested parties as described in ISO 9001:2015 and suggest approaches to determine conformity of the organization's understanding of the identification and needs of interested parties.
- 4.5.3.4 Explain the audit methodology to determine the implementation of PDCA, Process Approach and Risk Based Thinking in the organization's quality management system.
- 4.5.3.5 Explain the audit methodology to determine the organization's focus on its customers and on customer satisfaction.
- 4.5.3.6 Explain the audit methodology to evaluate the organization's quality policy and quality objectives in accordance with the requirements of ISO 9001:2015.
- 4.5.3.7 Explain the audit methodology to determine the organization's actions to address risks and opportunities.
- 4.5.3.8 Explain the audit methodology to determine the organization's focus on its customers and on customer satisfaction.
- 4.5.3.9 Explain the audit methodology to determine the organization's provision of resources in terms of its business strategy and in accordance with the requirements of ISO 9001:2015.
- 4.5.3.10 Explain the audit methodology to determine the organization's focus on organizational knowledge and conformance to the requirements of ISO 9001:2015.
- 4.5.3.11 Explain the audit methodology to determine the organization's conformance to the requirements for documented information (including electronic documentation) as contained in ISO 9001:2015. Differentiate between the requirements to maintain and retain documented information.
- 4.5.3.12 Explain the methodology to audit the organization's operations including planning and control, and the requirements and provision of products and services.
- 4.5.3.13 Explain the audit methodology to determine the organization's focus and conformance with design and development requirements of ISO 9001:2015.
- 4.5.3.14 Explain the audit methodology to confirm the organization's control of any outsourced processes.
- 4.5.3.15 Explain the audit methodology to confirm the organization's control of release of products and services and post-delivery activities.
- 4.5.3.16 Explain the audit methodology to confirm the organization's evaluation of its performance and in meeting its objectives.
- 4.5.3.17 Explain the methodology to audit and evaluate the effectiveness of the organization's processes for internal audit and management review.
- 4.5.3.18 Explain the methodology to audit the organization's improvement processes including these related to nonconformity and corrective action.



#### **4.5.4 Reporting and Following Up the Audit**

A learner who successfully completes the course shall be able to:

- 4.5.4.1 Summarize and record the results of an audit and demonstrate the ability to produce concise and accurate reports.
- 4.5.4.2 Evaluate objective evidence gathered and correctly identify conformity and nonconformity with requirements.
- 4.5.4.3 Explain the context of audit findings becoming nonconformities and their grading as described in ISO/IEC 17021-1:2015
- 4.5.4.4 Write nonconformity reports based on objective evidence obtained during the course of the audit and explain the three components when recording an audit finding as a nonconformity
- 4.5.4.5 Describe the identification of opportunities for improvement and describe the risks faced by the auditor in this process.
- 4.5.4.6 Make recommendations on the conformance and acceptability of a management system to the top management of the organization based on objective evidence obtained during the audit.
- 4.5.4.7 Explain how the results of the audit can be used including for certification or supplier approval purposes.
- 4.5.4.8 Describe the processes for the audit team to evaluate proposals for corrective and preventive actions in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

### **5 COMPETENCE REQUIREMENTS FOR QUALITY MANAGEMENT SYSTEM AUDITORS AND AUDIT TEAM LEADERS**

A learner who successfully completes the course shall be able to:

- 5.1 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 5.2 Identify the competence requirements for quality management system auditors and audit team leaders involved in 1st, 2nd and 3rd party certification audits. Such competence requirements shall include:
  - 5.2.1 The competence and registration requirements of the SAATCA auditor criteria
  - 5.2.2 The generic competence requirements for third party certification auditors as contained in ISO/IEC 17021-1:2015 and specific competence requirements for quality management system auditors as contained in ISO/IEC 17021-3:2013
  - 5.2.3 The desired personal behaviours of auditors and audit team leaders based on the guidance given in ISO 19011:2018 and annex D of ISO/IEC 17021-1:2015.
- 5.3 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

### **6 COURSE CONTENT**

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation. The course content shall cover:

- 6.1 All aspects defined under Learning Objectives; and
- 6.2 Local requirements, culture, practice or approaches to auditing and the application of ISO 9001:2015 as appropriate.

### **7 OTHER**

All other requirements - same as generic TCP requirements for Lead Auditor courses



## **ANNEX 3-B: SCHEME TCP REQUIREMENTS - QUALITY MANAGEMENT SYSTEM**

### **INTERNAL AUDITORS**

#### **1. INTRODUCTION**

The Quality Management System auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing quality management systems and of audit team management, as described in ISO 19011: 2018, Guidelines for auditing management systems;

The primary focus of the training course shall be on training learners to audit quality management systems against the requirements of the ISO 9001:2015 standard (or recognized national equivalents) and the organization's own quality management processes.

The TCP shall:

- a) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- b) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.

#### **2. PRIOR KNOWLEDGE REQUIREMENT**

##### **2.1. Knowledge assumed to be in place – ISO 9001: 2015**

- 2.1.1.** A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three (3) days related to understanding and implementation to the applicable standard, namely ISO 9001:2015 before enrolment to the auditing course.

#### **3. GENERAL**

These criteria are intended for use by SAATCA and SAATCA registered auditor training course providers (TCP's) for a quality management system lead auditor training course.

#### **4. LEARNING OUTCOMES**

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the following learning outcomes below.

##### **4.2 Concepts of management system auditing**

A learner who successfully completes the course shall be able to:

- 4.2.1 Describe the function of first party audits and the varying role of the auditor and the auditee.
- 4.2.2 Summarize the SAATCA Criteria for Certification of Quality Management System Auditors.
- 4.2.3 Explain the SAATCA Auditors' Code of Conduct.
- 4.2.4 Formulate and/or correctly interpret the objectives of an audit.
- 4.2.5 Generate audit findings.

4.2.6 Formulate an audit conclusion.

#### **4.3. Standards and Other Normative Documents**

A learner who successfully completes the course shall be able to:

- 4.3.1 Understand the background to the development of standards.
- 4.3.2 Describe the main role players in the development of National and International standards.
- 4.3.3 Describe the difference between auditable requirement standards and guidance documents.
- 4.3.4 Describe quality management system standards.
- 4.3.5 Provide the information necessary to answer questions from the auditee on the rationale for some of the changes from the 2008 to the 2015 version and be able to describe, in broad terms, the relevance of the ISO Directives, Annex XL and the so called “high level structure” that has influenced a number of the changes.
- 4.3.6 Describe the ongoing process of change in the ISO quality management system standards, the impact that changes in the ISO 9001:2015 standards may have on the audit process, and the need for auditors to keep up to date with these developments.
- 4.3.7 Explain the purpose, content and interrelationship of ISO 9000:2015, ISO 9001:2015 and ISO 9004:2009
- 4.3.8 Explain the purpose, content and interrelationship of ISO 19011:2018.
- 4.3.9 Explain the purpose, content and interrelationship of other normative documents including those published by the International Accreditation Forum (IAF) related to quality management systems.

#### **4.4 Knowledge and Application**

A learner who successfully completes the course shall be able to:

- 4.4.1 Draw links from the quality management principles contained in ISO 9000:2015 and the implementation of requirements for a quality management system conforming to ISO 9001:2015.
- 4.4.2 Describe the principles of auditing.
- 4.4.3 Explain the purpose of auditing a quality management system
- 4.4.4 Explain the business benefits of auditing a quality management system.
- 4.4.5 Explain the synergy and concepts of auditing of quality management systems related to Plan Do Check Act (PDCA), the process approach and risk based thinking.
- 4.4.6 Explain the benefits of internal auditing quality management systems within the organization.
- 4.4.7 Explain the differences in auditing quality management systems and legal compliance audits
- 4.4.8 Explain the context of “documented information” as described in the ISO 9000:2015 family of standards and differentiate between the requirements to maintain and retain documented information.
- 4.4.9 Suggest approaches to verify the enhancement of quality performance in order to determine conformity to:  
a) the achievement of the intended outcomes of the QMS, b) the effectiveness of the QMS as required by the standard, and c) through monitoring and measurement of quality performance.

#### **4.5 Audit Responsibilities**

A learner who successfully completes the course shall be able to:

- 4.5.1 Explain the need for confidentiality and impartiality during all phases of the audit process.

- 4.5.2 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 4.5.3 Describe and undertake the responsibilities of an auditor.
- 4.5.4 Differentiate between the scope of an audit and the scope of the quality management system.
- 4.5.5 Describe the basis on which certain clauses of the ISO 9001:2015 requirements may be deemed as “not applicable”

## **4.6 Audit Process**

### **4.6.1 Planning the Audit**

A learner who successfully completes the course shall be able to:

- 4.6.1.1 Describe the use of an audit programme and an audit plan. Explain the differences between the two.
- 4.6.1.2 Describe the use of audit programming and planning with reference to 1<sup>st</sup> party auditing of quality management systems.
- 4.6.1.3 Identify the information required to effectively plan the duration and the resources required to conduct an audit.
- 4.6.1.4 Identify information required to effectively plan multiple site audits or audits of integrated management systems.
- 4.6.1.5 Explain the purpose and significance of the audit scope, the importance of audit team competency and the selection of audit team members, particularly with regard to knowledge of the relevant industry, regulations and legislation.
- 4.6.1.6 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 4.6.1.7 Explain the use, benefits and potential limitations of an audit checklist.
- 4.6.1.8 Produce tailored checklists for use during an audit.
- 4.6.1.9 Identify considerations for planning an audit of an activity for which there are no documented procedures, auditing by electronic means or virtual audits.

### **4.6.2 Performing the Audit**

A learner who successfully completes the course shall be able to:

- 4.6.2.1 Evaluate, through auditing, an organisation’s effective implementation of processes, procedures and methodologies to conform to the requirements of ISO 9001:2015 with emphasis on the following two features.
  - a) the organization’s need to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements
  - b) the organization’s intentions to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity of products and services to customer and applicable statutory and regulatory requirements.
- 4.6.2.2 Perform an audit in accordance with the principles, processes and methodology as described in ISO 19011
- 4.6.2.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the audit team and auditee during the audit.
- 4.6.2.4 Take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 4.6.2.5 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.

- 4.6.2.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- 4.6.2.7 Present audit findings and recommendations to the auditee.
- 4.6.2.8 Collect and analyse evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- 4.6.2.9 Explain the methodology of audit findings summarizing conformity and detailing nonconformity.
- 4.6.2.10 Explain the purpose of ongoing surveillances and audits.

#### **4.7 Detailed audits of quality management systems conforming to ISO 9001:2015**

- 4.7.1 Explain the typical role of top management in an audit and suggest approaches for auditing top management leadership and commitment.
- 4.7.2 Explain the context of the organization as described in ISO 9001:2015 and suggest approaches to determine conformity of the organization's understanding of internal and external issues.
- 4.7.3 Explain the concepts of the involvement of interested parties as described in ISO 9001:2015 and suggest approaches to determine conformity of the organization's understanding of the identification and needs of interested parties.
- 4.7.4 Explain the audit methodology to determine the implementation of PDCA, Process Approach and Risk Based Thinking in the organization's quality management system.
- 4.7.5 Explain the audit methodology to determine the organization's focus on its customers and on customer satisfaction.
- 4.7.6 Explain the audit methodology to evaluate the organization's quality policy and quality objectives in accordance with the requirements of ISO 9001:2015.
- 4.7.7 Explain the audit methodology to determine the organization's actions to address risks and opportunities.
- 4.7.8 Explain the audit methodology to determine the organization's provision of resources in terms of its business strategy and in accordance with the requirements of ISO 9001:2015.
- 4.7.9 Explain the audit methodology to determine the organization's focus on organizational knowledge and conformance to the requirements of ISO 9001:2015.
- 4.7.10 Explain the audit methodology to determine the organization's conformance to the requirements for documented information (including electronic documentation) as contained in ISO 9001:2015. Differentiate between the requirements to maintain and retain documented information.
- 4.7.11 Explain the methodology to audit the organization's operations including planning and control, and the requirements and provision of products and services.
- 4.7.12 Explain the audit methodology to determine the organization's focus and conformance with design and development requirements of ISO 9001:2015.
- 4.7.13 Explain the audit methodology to confirm the organization's control of any outsourced processes.
- 4.7.14 Explain the audit methodology to confirm the organization's control of release of products and services and post-delivery activities.
- 4.7.15 Explain the audit methodology to confirm the organization's evaluation of its performance and in meeting its objectives.
- 4.7.16 Explain the methodology to audit and evaluate the effectiveness of the organization's processes for internal audit and management review.
- 4.7.17 Explain the methodology to audit the organization's improvement processes including these related to nonconformity and corrective action.

#### **4.8 Reporting and Following Up the Audit**

A learner who successfully completes the course shall be able to:

- 4.8.1 Summarize and record the results of an audit and demonstrate the ability to produce concise and accurate reports.
- 4.8.2 Evaluate objective evidence gathered and correctly identify conformity and nonconformity with requirements.
- 4.8.3 Explain the context of audit findings becoming nonconformities and their grading
- 4.8.4 Write nonconformity reports based on objective evidence obtained during the course of the audit and explain the three components when recording an audit finding as a nonconformity
- 4.8.5 Describe the identification of opportunities for improvement and describe the risks faced by the auditor in this process.

- 4.8.6 Make recommendations on the conformance and acceptability of a management system to the top management of the organization based on objective evidence obtained during the audit.
- 4.8.7 Explain how the results of the audit can be used within the organization
- 4.8.8 Describe the processes to evaluate proposals for corrective and preventive actions in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

## **7. COMPETENCE REQUIREMENTS FOR QUALITY MANAGEMENT SYSTEM AUDITORS AND AUDIT TEAM LEADERS**

A learner who successfully completes the course shall be able to:

- 7.1 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 7.2 Identify the competence requirements for quality management system internal auditors involved in 1st audits. Such competence requirements shall include:
  - 7.2.1 The competence and registration requirements of the SAATCA auditor criteria
  - 7.2.2 The desired personal behaviours of auditors based on the guidance given in ISO 19011:2018 and annex D of ISO/IEC 17021-1:2015.
- 7.3 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

## **8 COURSE CONTENT**

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation. The course content shall cover:

- 8.1 All aspects defined under Learning Objectives; and
- 8.2 Local requirements, culture, practice or approaches to auditing and the application of ISO 9001:2015 as appropriate.

## **9 OTHER**

All other requirements - same as generic TCP requirements for Lead Auditor courses

## **END OF INTERNAL AUDITOR CRITERIA**

## **ANNEX 3-C: SCHEME TCP REQUIREMENTS - QUALITY MANAGEMENT SYSTEM**

### **UNDERSTANDING & IMPLEMENTATION**

#### **1. INTRODUCTION**

Quality Management System understanding and implementation training course shall provide learners with a thorough understanding of the history and development of ISO 9001:2015, key terms, definitions and the ISO standardized high level structure..

- **The TCP shall:**

- a) present the body of knowledge of understanding and implementation in such a way that learners are able to identify the key requirements and benefits of ISO 9001:2015; and
- b) encourage learners to critically analyze their own performance as a means for developing effective management system skills.

#### **2. GENERAL**

These criteria is intended for use by registered (SAATCA) training course providers (TCP's) for an Quality Management System understanding and implementation training course.

#### **3. PRIOR KNOWLEDGE REQUIREMENT**

There are no prior knowledge requirements for this training; however, it is advisable for learners to have knowledge of Annex SL. The learning duration for this training will be three (3) days.

#### **4. LEARNING OBJECTIVES**

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the flowing paragraphs.

- 4.1 Define quality management system or ISO 9001:2015
- 4.2 What are the benefits of an effective QMS to the organization?
- 4.3 What is the purpose and intent of a quality management system?
- 4.4 List the names and publication dates of the different quality management system standards, supporting guidance documents with special reference to those referenced in ISO 9001:2015.
- 4.6 List the main role players in the development of national and international management system standards.
- 4.7 Explain the difference between normative and informative information in standard and guidance documents.
- 4.9 Explain the purpose and the role of the Quality Management System.
- 4.9 Explain the fundamental principles and concepts of Quality Management Systems
- 4.10 Explain the organisation's quality policy in accordance with the requirements of ISO 9001:2015.
- 4.11 Explain the requirement of the ISO 9001:2015 quality management system standard.
- 4.12 List the required documented information that needs to be maintained and retained in terms of ISO 9001:2015.

- 4.13 Differentiate between the requirements to maintain and retain documented information.
- 4.14 How to monitor, measure and analyse the quality management system
- 4.15 Explain continual improvement process for quality management system.
- 4.16 Explain how to plan the implementation of ISO 9001:2015

## **5. COMPETENCE REQUIREMENTS FOR QMS MANAGEMENT SYSTEM**

A learner who successfully completes the course shall be able to:

- 5.1 Learn how to implement a Quality Management System within your organization to enables better response to customer requirements and market changes.
- 5.2 Learn how to transition your organization to meet the new requirements of the ISO 9001:2015 standard
- 5.3 Understand the conformance requirements associated with your stated Quality policy
- 5.4 Learn how to implement, maintain and continually improve your organization's QMS management system

## **6. COURSE CONTENT**

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

### **6.1 The course content shall cover:**

- 6.1.1 All aspects defined under Learning Objectives; and
- 6.1.2 Local requirements, culture, practice and the application of ISO 9001:2015 as appropriate.

## **7. OTHER**

All other requirements - same as generic TCP requirements for Auditor courses

## **END OF QMS CRITERIA: UNDERSTANDING & IMPLEMENTATION**



## **ANNEX 4-A: SCHEME TCP REQUIREMENTS - ENVIRONMENTAL MANAGEMENT SYSTEM**

### **LEAD AUDITOR/AUDITOR**

#### **1. INTRODUCTION**

The SAATCA Environmental Management System auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing environmental management systems and of audit team management, as described in:

- 1.5 ISO 19011:2018, Guidelines for auditing management systems;
- 1.6 ISO/IEC 17021-1:2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (Sections 4. 7 and 9);
- 1.7 ISO/IEC 17021-2: 2016, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 2: Competence requirements for auditing and certification of environmental management systems;
- 1.8 ISO/IEC TS 17023: 2013, Conformity assessment – Guidelines for determining the duration of management system certification audits.

The primary focus of the training course shall be on learners to audit environmental management systems against the requirements of the ISO 14001: 2015 standard (or recognized national equivalents) and applicable legal requirements (compliance obligations) relevant to environmental aspects.

The TCP shall:

- a) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- b) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.

## **2. PRIOR KNOWLEDGE REQUIREMENT**

### **2.1 Knowledge assumed to be in place<sup>1</sup> – ISO 14001: 2015**

A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three (3) days related to understanding and implementation to the applicable standard, namely ISO 14001:2015 before enrolment to the auditing course.

### **2.2 Demonstrated competence in the requirements of ISO 14001:2015**

- 2.2.1 Provide the information necessary to answer questions from the auditee on the rationale for some of the changes from the 2004 to the 2015 version of the ISO 14001 management system standard and be able to describe, in broad terms, the relevance of the ISO Directives, Annex XL and the so called “high level structure” as well as the Future Challenges that influenced the 2015 version of the standard.
- 2.2.2 Explain the purpose, content and interrelationship of ISO 14001: 2015, Annex A of ISO 14001: 2015 and ISO 14004:2016.
- 2.2.3 List the names and publication dates of the different environmental management system standards, supporting guidance documents with special reference to those referenced in ISO 14001:2015.
- 2.2.4 List the names and publication dates of the different conformity assessment standards and guidelines relevant to conformity assessment of environmental management systems and explain their objectives.
- 2.2.5 Describe the ongoing process of change in the ISO environmental management system standards, the impact that changes may have on the audit process and the need for auditors to keep up to date with these developments.
- 2.2.6 Explain the history of the environmental management system standards and guidelines.
- 2.2.7 List the main role players in the development of national and international management system standards.
- 2.2.8 Explain the difference between normative and informative information in standard and guidance documents.
- 2.2.9 Explain the difference between notes in the definitions and notes in the clause section of standards.
- 2.2.10 Explain the difference between Annex A of the standard and ISO 14004:2016.
- 2.2.11 Explain the intent behind pertinent terminologies used in ISO 14001:2015
- 2.2.12 Explain the requirement of the ISO 14001:2015 environmental management system standard and identify eligible objective evidence needed to demonstrate conformance of the entire environmental management system to these requirements.
- 2.2.13 List the required documented information that needs to be maintained and retained in terms of ISO 14001:2015.

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<sup>1</sup> Knowledge assumed to be in place can be demonstrated by the successful completion of (a) course(s); and /or work experience, and/or experiential learning in terms of environmental management systems and application compliance obligations. This knowledge can include knowledge gained by means of the successful completion of courses on the previous versions of the ISO 14001 standard and transition to the 2015 version of the standard and/or work related experiential learning that covers the same body of knowledge. It is generally expected that objective evidence shall support all claims of knowledge assumed to be in place.

### **2.3 Knowledge assumed to be in place – Compliance obligations**

Before the learner attend the auditor course he or she shall demonstrate the following knowledge and or competencies:

- 2.3.1 Differentiate between the three types of compliance obligations as required by ISO 14001:2015.
- 2.3.2 List and explain all of the requirements of ISO 14001:2015 standard related to compliance obligations.
- 2.3.3 Be able to determine whether the organisation has identified all of the applicable compliance obligations<sup>2</sup> in order to determine conformity to the requirements of the ISO 14001: 2015 standard.
- 2.3.4 Be able to determine whether the organisation has determined how these identified and applicable compliance obligations apply to its environmental aspects in order to determine conformity to the requirement.
- 2.3.5 Be able to determine whether the organisation is indeed compliant to these identified and applicable compliance obligations in order to determine whether the organisation conform with:
  - a) the commitment to comply with them and
  - b) whether the organisation has achieved the intended outcome of the EMS to achieve compliance to such compliance obligations.
- 2.3.6 Be able to determine whether the organisation has indeed verified its compliance to the compliance obligations and whether such knowledge of the compliance status of the organisation is known by relevant persons.

## **3. LEARNING OUTCOMES**

### **3.1 General outcomes**

These criteria are intended for use by SAATCA and SAATCA-registered auditor training course providers (TCP's) for the development and delivery of an environmental management system lead auditor training course.

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives and outcomes detailed in this Annex 4.

### **3.2 General concepts of management system auditing**

A learner who successfully completes the course shall be able to:

- 3.2.1 Describe the function of first, second, and third party audits, the similarities and differences, and the varying roles of the auditor, the auditee and the client in the audit of each of these types of audits.
- 3.2.2 Describe the systems and major role players in third party environmental management system certification.
- 3.2.3 Summarise the SAATCA criteria for the certification of environmental management system auditors.
- 3.2.4 Explain the SAATCA Auditors' Code of Conduct.
- 3.2.5 Describe the principles of management system auditing (ISO 19011:2018) and the principles of certification (ISO 17021-1, 2015).
- 3.2.6 Formulate and/or correctly interpret the objectives of an audit.

- 3.2.7 Formulate an audit objective.
- 3.2.8 Generate audit findings.
- 3.2.9 Formulate an audit conclusion.

### **3.3 Knowledge and application – Management system auditing standards and guidelines**

A learner who successfully completes the course shall be able to:

- 3.3.1 Explain the purpose, content and interrelationship of ISO 19011: 2018, and the ISO 17000 suite of standards referenced in Section 1 of this Annexure.
- 3.3.2 Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies involved in certification / registration of the ISO 14001:2015 standard.
- 3.3.3 Explain the purpose, content and interrelationship of other normative documents including those published by the International Accreditation Forum (IAF) related to environmental management systems.
- 3.3.4 Describe the principles of management system auditing (ISO 19011: 2018) and the principles of certification (ISO 17021-1: 2015).
- 3.3.5 Explain the purpose of auditing a management system.
- 3.3.6 Explain the benefits of auditing management systems by an accredited third party certification body.
- 3.3.7 Explain the business benefits of auditing a management system.
- 3.3.8 Explain the synergy and concepts of auditing a management system as they relate to the Plan-Do-Check-Act (PDCA) cycle.
- 3.3.9 Explain the context of “technical areas” as described in the ISO/IEC 17000 series of standards.
- 3.3.10 Explain the context of “documented information” as described in the ISO 14001:2015 family of standards and differentiate between the requirements to maintain and retain documented information.

### **3.4 ISO 14001: 2015 knowledge related to environmental management system auditing**

A learner who successfully completes the course shall be able to:

- 3.4.1 Verify environmental performance enhancement in order to be able to assess conformity to the requirements of the ISO 14001: 2015 standard.
- 3.4.2 Explain the typical role of top management in an audit.
- 3.4.3 Suggest approaches for auditing top management leadership and commitment.
- 3.4.4 Suggest approaches for auditing how environmental conditions need to be addressed in terms of the ISO 14001: 2015 requirements.
- 3.4.5 Explain the context of the organisation as described in ISO 14001:2015 and suggest approaches to determine conformity of the organisation’s understanding of internal and external issues, including environmental conditions.

- 3.4.6 Explain the concepts of determining the needs of interested parties as described in ISO 14001: 2015 up to the point where they become compliance obligations, and suggest approaches to determine conformity to these requirements.
- 3.4.7 Suggest approaches to determine conformity to the need to adopt a life cycle perspective in the EMS.
- 3.4.8 Suggest approaches to determine conformity to the need to protect the environment.
- 3.4.9 Suggest approaches to determine conformity to the need to be flexible as far as the scope of the EMS is concerned.
- 3.4.10 Suggest approaches to determine conformity to the need to ensure that the EMS and environmental management are relevant to the purpose and strategic context of the organisation.
- 3.4.11 Suggest approaches to verify conformity to the suite of control arrangements offered by ISO 14001: 2015.
- 3.4.12 Suggest approaches for auditing the need to control or influence significant environmental aspects and compliance obligations.
- 3.4.13 Suggest approaches for auditing the cross-cutting requirements of competence.
- 3.4.14 Suggest approaches to verify the achievement of at least the three required intended outcomes listed in ISO 14001: 2015 in order to make an audit conclusion to the effect.
- 3.4.15 Suggest approaches to verify the enhancement of environmental performance in order to determine conformity to: a) the achievement of the intended outcomes of the EMS, b) the effectiveness of the EMS as required by the standard, and c) through monitoring and measurement of environmental performance.
- 3.4.16 Explain the audit methodology to evaluate the organisation's environmental policy in accordance with the requirements of ISO 14001:2015.
- 3.4.17 Explain the audit methodology to determine and manage the organisation's actions to address risks and opportunities.
- 3.4.18 Explain the audit methodology to determine and manage the organisation's environmental impacts and aspects, including the adoption and use of criteria.
- 3.4.19 Explain the audit methodology to determine the organisation's actions to address environmental impacts and aspects relative to the consideration and management of change.
- 3.4.20 Explain the audit methodology to determine the organisation's provision of resources in terms of its business strategy and in accordance with the requirements of ISO 14001:2015.
- 3.4.21 Explain the audit methodology to determine the organisation's conformance to the requirements for documented information (including electronic documentation) as contained in ISO 14001: 2015. Differentiate between the requirements to maintain and retain documented information.
- 3.4.22 Explain the methodology to audit the organisation's operations including planning and control.
- 3.4.23 Explain the audit methodology to determine the organisation's focus and conformance with design and development requirements of ISO 14001:2015.
- 3.4.24 Explain the audit methodology to confirm the organisation's control of any outsourced processes.
- 3.4.25 Explain the audit methodology to confirm the organisation's control in line with the life cycle perspective.
- 3.4.26 Explain the audit methodology to confirm the organisation's evaluation of its performance and in meeting its objectives.

- 3.4.27 Explain the methodology to audit and evaluate the effectiveness of the organisation's processes for internal audit and management review.
- 3.4.28 Explain the methodology to audit the organisation's improvement processes including these related to nonconformity and corrective action.

### **3.5 Legal and Other Requirements**

A learner who successfully completes the course shall be able to:

- 3.5.1 Describe the role of applicable legal and other requirements to which the auditee subscribes which relate to its EMS hazards and risks.
- 3.5.2 Briefly describe the development of relevant EMS legislation, based on risk management.
- 3.5.3 Be able to understand and audit the legal and any other requirements to which the organization subscribes which relate to its EMS aspects, including verification of the adequacy of implementation thereof, e.g. rulings, applications, etc.
- 3.5.4 Be able to understand and audit the impact of changes in legal and other requirements related to EMS aspects of the auditee.
- 3.5.5 Ability to reference the key environmental legislation relevant to environmental aspects, adverse or beneficial, including, pollution control via emissions to air, discharges to water and disposal to land, including control over hazardous substances, resource usage, fauna and flora and biodiversity. This should include an overview of relevant international Environmental treaties and agreements.

### **3.6 Audit Responsibilities**

A learner who successfully completes the course shall be able to:

- 3.6.1 Explain the need for confidentiality and impartiality during all phases of the audit process.
- 3.6.2 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 3.6.3 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 3.6.4 Differentiate between the scope of an audit and the scope of the environmental management system.
- 3.6.5 Summarize the SAATCA Criteria for Certification of Occupational Health and Safety Auditors, national and other auditor certification programs, and the international recognition of SAATCA certifications.-
- 3.6.6 Explain the SAATCA Auditors' Code of Conduct.

### **3.7 The audit process – General**

A learner who successfully completes the course shall be able to:

- 3.7.1 Describe the EMS audit process and auditing principles, methodology and good practice as described in ISO standards and differentiate between the typical processes for internal audits and certification audits as defined in ISO 19011: 2018 and ISO/IEC 17021-1:2015, respectively.

### **3.8 The audit process – planning**

A learner who successfully completes the course shall be able to:

- 3.8.1 Describe the use of an audit programme and an audit plan and explain the differences between the two.

- 3.8.2 Describe the use of audit programming and planning with reference to first, second and third party auditing of environmental management systems.
- 3.8.3 Identify the information required to effectively plan the duration and the resources required to conduct an environmental management system audit.
- 3.8.4 Identify information required to effectively plan multiple site audits or audits of integrated management systems.
- 3.8.5 Explain the purpose and significance of the audit scope, the importance of audit team competency and the selection of audit team members, particularly with regard to knowledge of the relevant industry, standards and legislation.
- 3.8.6 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 3.8.7 Explain the use, benefits and potential limitations of an audit checklist.
- 3.8.8 Produce tailored checklists for use during conducting an audit.
- 3.8.9 Identify considerations for planning an audit of an activity for which there are no documented procedures, as well as auditing by electronic means or performing virtual audits.

### **3.9 Performing the Audit**

A learner who successfully completes the course shall be able to:

- 3.9.1 Evaluate an organization's effective implementation of procedures and methodologies to conform to ISO 14001 with emphasis on the following three features:
  - 3.9.1.1 Elements of an organisation's EMS including policy and procedures, records showing relevant legal and other requirements (compliance obligations) to which the organisation subscribes which relate to its environmental aspects and significant impacts, objectives, targets and programmes for achieving continual improvement and prevention of pollution.
  - 3.9.1.2 Environmental aspects and methodologies for establishing significant impacts, management controls over operations and monitoring of performance.
  - 3.9.1.3 The rationale for setting priorities, objectives and targets for management programmes to ensure that actions are taken to achieve planned improvements;
- 3.9.2 Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011:2018 and ISO/IEC 17021-1:2015.
- 3.9.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- 3.9.4 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 3.9.5 Take sufficient notes during the audit process in order to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 3.9.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- 3.9.7 Present audit findings and recommendations (where applicable) to the auditee.



- 3.9.8 Collect and analyses evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- 3.9.9 Explain the methodology of formulating audit findings, summarizing conformity and detailing nonconformity.
- 3.9.10 Explain the purpose of ongoing surveillances and audits.

### **3.11 Reporting and follow-up of the Audit**

A learner who successfully completes the course shall be able to:

- 3.11.1 Summarize and record the results of an audit and demonstrate the ability to produce concise and accurate reports.
- 3.11.2 Evaluate objective evidence gathered and correctly identify conformity and nonconformity with requirements.
- 3.11.3 Explain the context of audit findings becoming nonconformities and their grading as described in ISO/IEC 17021-1:2015.
- 3.11.4 Write nonconformity reports based on objective evidence obtained during the course of the audit and explain the three components when recording an audit finding as a nonconformity.
- 3.11.5 Describe the identification of opportunities for improvement and describe the risks faced by the auditor in this process.
- 3.11.6 Make recommendations on the conformance and acceptability of a management system to the top management of the organization based on objective evidence obtained during the audit.
- 3.11.7 Explain how the results of the audit can be used including for certification or supplier approval purposes.
- 3.11.8 Describe the processes for the audit team to evaluate proposals for corrective and preventive actions in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

The TCP may develop more detailed learning objectives, as appropriate.

Learners' achievement of the learning objectives shall be measured and recorded by the TCP.

#### **4. COMPETENCE REQUIREMENTS FOR ENVIRONMENTAL MANAGEMENT SYSTEM AUDITORS AND AUDIT TEAM LEADERS**

A learner who successfully completes the course shall be able to:

- 4.1 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 4.2 Identify the competence requirements for environmental management system auditors and audit team leaders involved in first, second and third party certification audits. Such competence requirements shall include:
  - 4.2.1 The competence and registration requirements of the SAATCA auditor criteria;
  - 4.2.2 The generic competence requirements for third party certification auditors as contained in ISO/IEC 17021-1:2015 and specific competence requirements for environmental management system auditors as contained in ISO/IEC 17021-2:2016
  - 4.2.3 The desired personal behaviours of auditors and audit team leaders based on the guidance given in ISO 19011:2018 and Annex D of ISO/IEC 17021-1:2015.
- 4.3 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

#### **5. COURSE CONTENT**

Early in the delivery of the course, the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

The course content shall cover:

- 5.1 All aspects defined under Learning Objectives; and
- 5.2 Local requirements, culture, practice or approaches to auditing and the application of ISO 14001:2015 as appropriate.

#### **6. OTHER**

All other requirements are the same as the generic TCP requirements for Lead Auditor courses.

### **THE END OF EMS CRITERIA**

## **ANNEX 4-B: SCHEME TCP REQUIREMENTS - ENVIRONMENTAL MANAGEMENT SYSTEM**

### **INTERNAL AUDITORS**

#### **1. INTRODUCTION**

The SAATCA Environmental Management System auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing environmental management systems and of audit team management, as described in ISO 19011: 2018, Guidelines for auditing management systems;

The primary focus of the training course shall be on learners to audit environmental management systems against the requirements of the ISO 14001: 2015 standard (or recognized national equivalents) and applicable legal requirements (compliance obligations) relevant to environmental aspects.

The TCP shall:

- c) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- d) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.

#### **2. PRIOR KNOWLEDGE REQUIREMENT**

##### **2.1. Knowledge assumed to be in place<sup>1</sup> – ISO 14001: 2015**

2.1.1 A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three (3) days related to understanding and implementation to the applicable standard, namely ISO 14001:2015 before enrolment to the internal auditing course.

##### **2.2 Demonstrated competence in the requirements of ISO 14001:2015**

2.2.1 Provide the information necessary to answer questions from an auditee on the rationale for some of the changes from the 2004 to the 2015 version of the ISO 14001 management system standard and be able to describe, in broad terms, the relevance of the ISO Directives, Annex XL and the so called “high level structure” as well as the Future Challenges that influenced the 2015 version of the standard.

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<sup>1</sup> Knowledge assumed to be in place can be demonstrated by the successful completion of (a) course(s); and /or work experience, and/or experiential learning in terms of environmental management systems and application compliance obligations. This knowledge can include knowledge gained by means of the successful completion of courses on the previous versions of the ISO 14001 standard and transition to the 2015 version of the standard and/or work related experiential learning that covers the same body of knowledge. It is generally expected that objective evidence shall support all claims of knowledge assumed to be in place.

- 2.2.2 Explain the purpose, content and interrelationship of ISO 14001: 2015, Annex A of ISO 14001: 2015 and ISO 14004:2016.
- 2.2.3 List the names and publication dates of the different environmental management system standards, supporting guidance documents with special reference to those referenced in ISO 14001:2015.
- 2.2.4 List the names and publication dates of the different conformity assessment standards and guidelines relevant to conformity assessment of environmental management systems and explain their objectives.
- 2.2.5 Describe the ongoing process of change in the ISO environmental management system standards, the impact that changes may have on the audit process and the need for auditors to keep up to date with these developments.
- 2.2.6 Explain the history of the environmental management system standards and guidelines.
- 2.2.7 List the main role players in the development of national and international management system standards.
- 2.2.8 Explain the difference between normative and informative information in standard and guidance documents.
- 2.2.9 Explain the difference between notes in the definitions and notes in the clause section of standards.
- 2.2.10 Explain the difference between Annex A of the standard and ISO 14004:2016.
- 2.2.11 Explain the intent behind pertinent terminologies used in ISO 14001:2015
- 2.2.12 Explain the requirement of the ISO 14001:2015 environmental management system standard and identify eligible objective evidence needed to demonstrate conformance of the entire environmental management system to these requirements.
- 2.2.13 List the required documented information that needs to be maintained and retained in terms of ISO 14001:2015.

### **2.3 Knowledge assumed to be in place – Compliance obligations**

Before the learner attend the auditor course he or she shall demonstrate the following knowledge and or competencies:

- 2.3.1 Differentiate between the three types of compliance obligations as required by ISO 14001:2015.
- 2.3.2 List and explain all of the requirements of ISO 14001:2015 standard related to compliance obligations.
- 2.3.3 Be able to determine whether the organisation has identified all of the applicable compliance obligations<sup>2</sup> in order to determine conformity to the requirements of the ISO 14001: 2015 standard.
- 2.3.4 Be able to determine whether the organisation has determined how these identified and applicable compliance obligations apply to its environmental aspects in order to determine conformity to the requirement.
- 2.3.5 Be able to determine whether the organisation is indeed compliant to these identified and applicable compliance obligations in order to determine whether the organisation conform with:
  - a) the commitment to comply with them and

b) whether the organisation has achieved the intended outcome of the EMS to achieve compliance to such compliance obligations.

- 2.3.6 Be able to determine whether the organisation has indeed verified its compliance to the compliance obligations and whether such knowledge of the compliance status of the organisation is known by relevant persons.

### **3. LEARNING OUTCOMES**

#### **3.1. General outcomes**

These criteria are intended for use by SAATCA and SAATCA-registered auditor training course providers (TCP's) for the development and delivery of an environmental management system lead auditor training course.

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives and outcomes detailed in this Annex 4.

#### **3.2. General concepts of management system auditing**

A learner who successfully completes the course shall be able to:

- 3.2.10 Describe the function of first party audits, the similarities and differences, and the varying roles of the auditor, the auditee and the client in the audit of each of these types of audits.

3.2.11

- 3.2.12 Summarise the SAATCA criteria for the certification of environmental management system auditors.

- 3.2.13 Explain the SAATCA Auditors' Code of Conduct.

- 3.2.14 Describe the principles of management system auditing (ISO 19011 2018)

- 3.2.15 Formulate and/or correctly interpret the objectives of an audit.

- 3.2.16 Formulate an audit objective.

- 3.2.17 Generate audit findings.

- 3.2.18 Formulate an audit conclusion.

#### **3.3. Knowledge and application – Management system auditing standards and guidelines**

A learner who successfully completes the course shall be able to:

- 3.3.1 Explain the purpose, content and interrelationship of ISO 19011: 2018, and the ISO 17000 suite of standards referenced in Section 1 of this Annexure.

- 3.3.11 Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies involved in certification / registration of the ISO 14001:2015 standard.

- 3.3.12 Explain the purpose, content and interrelationship of other normative documents including those published by the International Accreditation Forum (IAF) related to environmental management systems.

- 3.3.13 Describe the principles of management system auditing (ISO 19011: 2018)

- 3.3.14 Explain the purpose of auditing a management system.
- 3.3.15 Explain the benefits of auditing management systems in the organization..
- 3.3.16 Explain the business benefits of auditing a management system.
- 3.3.17 Explain the synergy and concepts of auditing a management system as they relate to the Plan-Do-Check-Act (PDCA) cycle.
- 3.3.18 Explain the context of “technical areas” as described in the ISO/IEC 17000 series of standards.
- 3.3.19 Explain the context of “documented information” as described in the ISO 14001:2015 family of standards and differentiate between the requirements to maintain and retain documented information.

#### **3.4. ISO 14001: 2015 knowledge related to environmental management system auditing**

A learner who successfully completes the course shall be able to:

- 3.4.29 Verify environmental performance enhancement in order to be able to assess conformity to the requirements of the ISO 14001: 2015 standard.
- 3.4.30 Explain the typical role of top management in an audit.
- 3.4.31 Suggest approaches for auditing top management leadership and commitment.
- 3.4.32 Suggest approaches for auditing how environmental conditions need to be addressed in terms of the ISO 14001: 2015 requirements.
- 3.4.33 Explain the context of the organisation as described in ISO 14001:2015 and suggest approaches to determine conformity of the organisation’s understanding of internal and external issues, including environmental conditions.
- 3.4.34 Explain the concepts of determining the needs of interested parties as described in ISO 14001: 2015 up to the point where they become compliance obligations, and suggest approaches to determine conformity to these requirements.
- 3.4.35 Suggest approaches to determine conformity to the need to adopt a life cycle perspective in the EMS.
- 3.4.36 Suggest approaches to determine conformity to the need to protect the environment.
- 3.4.37 Suggest approaches to determine conformity to the need to be flexible as far as the scope of the EMS is concerned.
- 3.4.38 Suggest approaches to determine conformity to the need to ensure that the EMS and environmental management are relevant to the purpose and strategic context of the organisation.
- 3.4.39 Suggest approaches to verify conformity to the suite of control arrangements offered by ISO 14001: 2015.
- 3.4.40 Suggest approaches for auditing the need to control or influence significant environmental aspects and compliance obligations.
- 3.4.41 Suggest approaches for auditing the cross-cutting requirements of competence.
- 3.4.42 Suggest approaches to verify the achievement of at least the three required intended outcomes listed in ISO 14001: 2015 in order to make an audit conclusion to the effect.

- 3.4.43 Suggest approaches to verify the enhancement of environmental performance in order to determine conformity to: a) the achievement of the intended outcomes of the EMS, b) the effectiveness of the EMS as required by the standard, and c) through monitoring and measurement of environmental performance.
- 3.4.44 Explain the audit methodology to evaluate the organisation's environmental policy in accordance with the requirements of ISO 14001:2015.
- 3.4.45 Explain the audit methodology to determine and manage the organisation's actions to address risks and opportunities.
- 3.4.46 Explain the audit methodology to determine and manage the organisation's environmental impacts and aspects, including the adoption and use of criteria.
- 3.4.47 Explain the audit methodology to determine the organisation's actions to address environmental impacts and aspects relative to the consideration and management of change.
- 3.4.48 Explain the audit methodology to determine the organisation's provision of resources in terms of its business strategy and in accordance with the requirements of ISO 14001:2015.
- 3.4.49 Explain the audit methodology to determine the organisation's conformance to the requirements for documented information (including electronic documentation) as contained in ISO 14001:2015. Differentiate between the requirements to maintain and retain documented information.
- 3.4.50 Explain the methodology to audit the organisation's operations including planning and control.
- 3.4.51 Explain the audit methodology to determine the organisation's focus and conformance with design and development requirements of ISO 14001:2015.
- 3.4.52 Explain the audit methodology to confirm the organisation's control of any outsourced processes.
- 3.4.53 Explain the audit methodology to confirm the organisation's control in line with the life cycle perspective.
- 3.4.54 Explain the audit methodology to confirm the organisation's evaluation of its performance and in meeting its objectives.
- 3.4.55 Explain the methodology to audit and evaluate the effectiveness of the organisation's processes for internal audit and management review.
- 3.4.56 Explain the methodology to audit the organisation's improvement processes including these related to nonconformity and corrective action.

### **3.5. Legal and Other Requirements**

A learner who successfully completes the course shall be able to:

- 3.5.1 Describe the role of applicable legal and other requirements to which the auditee subscribes which relate to its EMS hazards and risks.
- 3.5.2 Briefly describe the development of relevant EMS legislation, based on risk management.
- 3.5.3 Be able to understand and audit the legal and any other requirements to which the organization subscribes which relate to its EMS aspects, including verification of the adequacy of implementation thereof, e.g. rulings, applications, etc.
- 3.5.4 Be able to understand and audit the impact of changes in legal and other requirements related to EMS aspects of the auditee.



- 3.5.5 Ability to reference the key environmental legislation relevant to environmental aspects, adverse or beneficial, including, pollution control via emissions to air, discharges to water and disposal to land, including control over hazardous substances, resource usage, fauna and flora and biodiversity. This should include an overview of relevant international Environmental treaties and agreements.

### **3.6. Audit Responsibilities**

A learner who successfully completes the course shall be able to:

- 3.6.1 Explain the need for confidentiality and impartiality during all phases of the audit process.
- 3.6.2 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 3.6.3 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 3.6.4 Differentiate between the scope of an audit and the scope of the environmental management system.
- 3.6.5 Summarize the SAATCA Criteria for Certification of Occupational Health and Safety Auditors, national and other auditor certification programs, and the international recognition of SAATCA certifications.-
- 3.6.6 Explain the SAATCA Auditors' Code of Conduct.

### **3.7. The audit process – General**

A learner who successfully completes the course shall be able to:

- 3.7.1 Describe the EMS audit process and auditing principles, methodology and good practice as described in ISO standards and differentiate between the typical processes for internal audits s defined in ISO 19011: 2018, respectively.

### **3.8. The audit process – planning**

A learner who successfully completes the course shall be able to:

- 3.8.1 Describe the use of an audit programme and an audit plan and explain the differences between the two.
- 3.8.2 Describe the use of audit programming and planning with reference to first party auditing of environmental management systems.
- 3.8.3 Identify the information required to effectively plan the duration and the resources required to conduct an environmental management system audit.
- 3.8.4 Identify information required to effectively plan multiple site audits or audits of integrated management systems.
- 3.8.5 Explain the purpose and significance of the audit scope, the importance of auditor competency and particularly with regard to knowledge of the organization, standards and legislation.
- 3.8.6 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 3.8.7 Explain the use, benefits and potential limitations of an audit checklist.
- 3.8.8 Produce tailored checklists for use during conducting an audit.

- 3.8.9 Identify considerations for planning an audit of an activity for which there are no documented procedures, as well as auditing by electronic means or performing virtual audits.

### **3.9 Performing the Audit**

A learner who successfully completes the course shall be able to:

- 3.9.1 Evaluate an organization's effective implementation of procedures and methodologies to conform to ISO 14001 with emphasis on the following three features:
- 3.9.1.1 Elements of an organisation's EMS including policy and procedures, records showing relevant legal and other requirements (compliance obligations) to which the organisation subscribes which relate to its environmental aspects, environmental aspects and significant impacts, objectives, targets and programmes for achieving continual improvement and prevention of pollution.
  - 3.9.1.2 Environmental aspects and methodologies for establishing significant impacts, management controls over operations and monitoring of performance.
  - 3.9.1.3 The rationale for setting priorities, objectives and targets for management programmes to ensure that actions are taken to achieve planned improvements;
- 3.9.2 Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011:2018
- 3.9.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- 3.9.4 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 3.9.5 Take sufficient notes during the audit process in order to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 3.9.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- 3.9.7 Present audit findings and recommendations (where applicable) to the auditee.
- 3.9.8 Collect and analyze evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- 3.9.9 Explain the methodology of formulating audit findings, summarizing conformity and detailing nonconformity.
- 3.9.10 Explain the purpose of ongoing surveillances and audits.

### **3.11 Reporting and follow-up of the Audit**

A learner who successfully completes the course shall be able to:

- 3.11.1 Summaries and record the results of an audit and demonstrate the ability to produce concise and accurate reports.
- 3.11.9 Evaluate objective evidence gathered and correctly identify conformity and nonconformity with requirements.
- 3.11.10 Explain the context of audit findings becoming nonconformities and their grading
- 3.11.11 Write nonconformity reports based on objective evidence obtained during the course of the audit and explain the three components when recording an audit finding as a nonconformity

- 3.11.12 Describe the identification of opportunities for improvement and describe the risks faced by the auditor in this process.
- 3.11.13 Make recommendations on the conformance and acceptability of a management system to the top management of the organization based on objective evidence obtained during the audit.
- 3.11.14 Explain how the results of the audit can be used.
- 3.11.15 Describe the processes for the audit to evaluate proposals for corrective and preventive actions in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

The TCP may develop more detailed learning objectives, as appropriate.

Learners' achievement of the learning objectives shall be measured and recorded by the TCP.

#### **4. COMPETENCE REQUIREMENTS FOR ENVIRONMENTAL MANAGEMENT SYSTEM AUDITORS AND AUDIT TEAM LEADERS**

A learner who successfully completes the course shall be able to:

- 4.1 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 4.2 Identify the competence requirements for environmental management system auditors. Such competence requirements shall include:
  - 4.2 The competence and registration requirements of the SAATCA auditor criteria;
  - 4.4 The desired personal behaviours of auditors based on the guidance given in ISO 19011:2018.
  - 4.5 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

#### **5. COURSE CONTENT**

Early in the delivery of the course, the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

The course content shall cover:

- 5.1 All aspects defined under Learning Objectives; and
- 5.2 Local requirements, culture, practice or approaches to auditing and the application of ISO 14001 as appropriate.

#### **6. OTHER**

All other requirements are the same as the generic TCP requirements for Lead Auditor courses.

## **THE END OF EMS CRITERIA FOR INTERNAL AUDITORS**

## **ANNEX 4C: SCHEME TCP REQUIREMENTS - ENVIRONMENTAL MANAGEMENT SYSTEM**

### **UNDERSTANDING & IMPLEMENTATION**

#### **1. INTRODUCTION**

Environmental Management System understanding and implementation training course shall provide learners with a thorough understanding of the history and development of ISO 14001:2015, key terms, definitions and the ISO standardized high level structure..

- **The TCP shall:**
  - e) present the body of knowledge of understanding and implementation in such a way that learners are able to identify the key requirements and benefits of ISO 14001:2015; and
  - f) encourage learners to critically analyze their own performance as a means for developing effective management system skills.

#### **2. GENERAL**

These criteria is intended for use by registered (SAATCA) training course providers (TCP's) for an Environmental Management System understanding and implementation training course.

#### **3. PRIOR KNOWLEDGE REQUIREMENT**

There are no prior knowledge requirements for this training; however, it is advisable for learners to have knowledge of Annex SL. The learning duration for this training will be three (3) days.

#### **4. LEARNING OBJECTIVES**

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the flowing paragraphs.

- 4.1 List the benefit of an effective EMS to the organization
- 4.2 What is the purpose and intent of an environmental management system?
- 4.3 Understand the key difference between the ISO 14001:2004 and ISO 14001:2015 management system
- 4.4 List the names and publication dates of the different environmental management system standards, supporting guidance documents with special reference to those referenced in ISO 14001:2015.
- 4.5 Explain the purpose, content and interrelationship of ISO 14001: 2015, Annex A of ISO 14001: 2015 and ISO 14004:2016.
- 4.6 List the main role players in the development of national and international management system standards.
- 4.7 Explain the difference between normative and informative information in standard and guidance documents.
- 4.8 Explain the difference between notes in the definitions and notes in the clause section of standards.  
  
Explain the difference between Annex A of the standard and ISO 14004:2016.
- 4.10 Explain the intent behind pertinent terminologies used in ISO 14001:2015
- 4.11 Explain fundamental principles of environmental management system
- 4.12 Understand the organization context and the risk based thinking
- 4.13 List the names and publication dates of the different conformity assessment standards and guidelines relevant to conformity assessment of environmental management systems and explain their objectives.
- 4.14 Explain how to evaluate the organisation's environmental policy in accordance with the requirements of ISO 14001:2015.
- 4.15 Explain the requirement of the ISO 14001:2015 environmental management system standard and identify eligible objective evidence needed to demonstrate conformance of the entire environmental management system to these requirements.
- 4.16 List the required documented information that needs to be maintained and retained in terms of ISO 14001:2015.
- 4.17 Differentiate between the requirements to maintain and retain documented information.
- 4.18 How to monitor, measure and analyse the environmental management system
- 4.19 Explain continual improvement process for an environmental management system.

## **5. COMPETENCE REQUIREMENTS FOR ENVIRONMENTAL MANAGEMENT SYSTEM AUDITORS AND AUDIT TEAM LEADERS**

A learner who successfully completes the course shall be able to:

- 5.1 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 5.2 Understand the requirement of EMS
- 5.3 Understand the documentation required by ISO 14001:2015
- 5.4 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

## **6. COURSE CONTENT**

Early in the delivery of the course, the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

The course content shall cover:

- 6.1 All aspects defined under Learning Objectives; and
- 6.2 Local requirements, culture, practice or approaches to auditing and the application of ISO 14001:2015 as appropriate.

## **7. OTHER**

All other requirements are the same as the generic TCP requirements for Lead Auditor courses.

# **THE END OF EMS CRITERIA: UNDERSTANDING & IMPLEMENTATION**

**ANNEX 5: SCHEME TCP REQUIREMENTS – FOOD SAFETY**

**REFER TO CRT 6.13**



## **ANNEX 6-A: SCHEME TCP REQUIREMENTS – OCCUPATIONAL HEALTH AND SAFETY:**

### **LEAD AUDITORS/AUDITORS**

#### **1. INTRODUCTION**

The SAATCA Occupational Health & Safety auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing Occupational Health & Safety and of audit team management, as described in:

- 1.1 ISO 19011: 2018, Guidelines for auditing management systems;
- 1.2 ISO/IEC 17021-1: 2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (Sections 4. 7 and 9);
- 1.3 ISO/IEC TS 17023: 2013, Conformity assessment – Guidelines for determining the duration of management system certification audits.

The primary focus of the training course shall be on training learners to audit Occupational Health & Safety based on the ISO 45001:2018 standard, or recognized national and international equivalents, and applicable legal requirements relevant to environmental aspects.

#### **The TCP shall:**

- g) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- h) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.

#### **2. GENERAL**

These criteria are intended for use by auditor training approval bodies (SAATCA) and auditor training course providers (TCP's) for an Occupational Health and Safety Auditor training course

#### **3. PRIOR KNOWLEDGE REQUIREMENT**

A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three (3) days related to understanding and implementation to the applicable standard, namely ISO 45001:2018 before enrolment to the auditing course.

**3.1 Demonstrated competence in the requirements of ISO 45001:2018:2018**

Provide the information necessary to answer questions from the auditee on the rationale for some of the changes from the OHSAS18001:2007 to the ISO 45001:2018:2018 management system standard and be able to describe, in broad terms, the relevance of the ISO Directives, Annex XL and the so called "high level structure" as well as the Future Challenges that influenced the 2018 version of the standard.

Describe the ongoing process of change in the Occupational Health and Safety management system standards, the impact that changes may have on the audit process and the need for auditors to keep up to date with these developments.

Explain the requirement of the ISO 45001:2018:2018 Occupational Health and Safety management system standard and identify eligible objective evidence needed to demonstrate conformance of the entire environmental management system to these requirements.

List the required documented information that needs to be maintained and retained in terms of ISO 45001:2018:2018.

**3.2 Knowledge assumed to be in place – Compliance obligations**

Before the learner attend the auditor course he or she shall demonstrate the following knowledge and or competencies:

- 3.2.1 Differentiate between the three types of compliance obligations as required by ISO 45001:2018:2018.
- 3.2.2 List and explain all of the requirements of ISO 45001:2018:2018 standard related to compliance obligations.
- 3.2.3 Be able to determine whether the organisation has identified all of the applicable compliance obligations<sup>2</sup> in order to determine conformity to the requirements of the ISO 45001:2018:2018 standard.
- 3.2.4 Be able to determine whether the organisation has determined how these identified and applicable compliance obligations apply to its safety aspects in order to determine conformity to the requirement.
- 3.2.5 Be able to determine whether the organisation is indeed compliant to these identified and applicable compliance obligations in order to determine whether the organisation conform with:
  - a) the commitment to comply with them and
  - b) whether the organisation has achieved the intended outcome of the Occupational Health and Safety to achieve compliance to such compliance obligations.
- 3.2.6 Be able to determine whether the organisation has indeed verified its compliance to the compliance obligations and whether such knowledge of the compliance status of the organisation is known by relevant persons.

#### **4. LEARNING OUTCOMES**

##### **4.1. General outcomes**

These criteria are intended for use by SAATCA and SAATCA-registered auditor training course providers (TCP's) for the development and delivery of an occupational health and safety management system lead auditor training course.

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the flowing paragraphs.

##### **4.2 General concepts of management system auditing**

A learner who successfully completes the course shall be able to:

- 4.2.1 Describe the function of first, second, and third party audits, the similarities and differences, and the varying roles of the auditor, the auditee and the client in the audit of each of these types of audits.
- 4.2.2 Describe the systems and major role players in third party OHS management system certification.
- 4.2.3 Summarise the SAATCA criteria for the certification of Occupational Health and Safety management system auditors.
- 4.2.4 Explain the SAATCA Auditors' Code of Conduct.
- 4.2.5 Describe the principles of management system auditing (ISO 19011:2018) and the principles of certification (ISO 17021-1).
- 4.2.6 Formulate and/or correctly interpret the objectives of an audit.
- 4.2.7 Formulate an audit objective.
- 4.2.8 Generate audit findings.
- 4.2.9 Formulate an audit conclusion.

##### **4.3 Knowledge and application – Management system auditing standards and guidelines**

**A learner who successfully completes the course shall be able to:**

- 4.3.1 Explain the purpose, content and interrelationship of ISO 19011:2018, and the ISO 17000 suite of standards referenced in Section 1 of this Annexure.
- 4.3.2 Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies involved in certification / registration of the ISO 45001:2018 standard.
- 4.3.3 Explain the purpose, content and interrelationship of other normative documents including those published by the International Accreditation Forum (IAF) related to Occupational Health and Safety management systems.
- 4.3.4 Describe the principles of management system auditing (ISO 19011:2018) and the principles of certification (ISO 17021-1:2015).
- 4.3.5 Explain the purpose of auditing a management system.

- 4.3.6 Explain the benefits of auditing management systems by an accredited third party certification body.
- 4.3.7 Explain the business benefits of auditing a management system.
- 4.3.8 Explain the synergy and concepts of auditing a management system as they relate to the Plan-Do-Check-Act (PDCA) cycle.
- 4.3.9 Explain the context of “technical areas” as described in the ISO/IEC 17000 series of standards.
- 4.3.10 Explain the context of “documented information” as described in the ISO 45001:2018:2018 family of standards and differentiate between the requirements to maintain and retain documented information.

#### **4.4 ISO 45001:2018:2018 Knowledge related to Occupational Health and Safety Management System Auditing**

A learner who successfully completes the course shall be able to:

- 4.4.1 Verify safety performance enhancement in order to be able to assess conformity to the requirements of the ISO 45001:2018:2018 standard.
- 4.4.2 Explain the typical role of top management in an audit.
- 4.4.3 Suggest approaches for auditing top management leadership and commitment.
- 4.4.4 Suggest approaches for auditing how Occupational Health and Safety conditions need to be addressed in terms of the ISO 45001:2018:2018 requirements.
- 4.4.5 Explain the context of the organisation as described in ISO 45001:2018 and suggest approaches to determine conformity of the organisation’s understanding of internal and external issues, including environmental conditions.
- 4.4.6 Explain the concepts of determining the needs of interested parties as described in ISO 45001:2018 up to the point where they become compliance obligations, and suggest approaches to determine conformity to these requirements.
- 4.4.9 Suggest approaches to determine conformity to the need to ensure that the OHSMS management are relevant to the purpose and strategic context of the organisation.
- 4.4.10 Suggest approaches to verify conformity to the suite of control arrangements offered by ISO 45001:2018.
- 4.4.11 Suggest approaches for auditing the need to control or influence significant OHSMS hazards and risks as well as compliance obligations.
- 4.4.12 Suggest approaches for auditing the cross-cutting requirements of competence.
- 4.4.13 Suggest approaches to verify the enhancement of OHSMS performance in order to determine conformity to: a) the achievement of the intended outcomes of the OHSMS, b) the effectiveness of the OHSMS as required by the standard, and c) through monitoring and measurement of OHSMS performance.
- 4.4.14 Explain the audit methodology to evaluate the organisation’s OH&S policy in accordance with the requirements of ISO 45001:2018.
- 4.4.15 Explain the audit methodology to determine and manage the organisation’s actions to address risks and opportunities.
- 4.4.16 Explain the audit methodology to determine the organisation’s provision of resources in terms of its business strategy and in accordance with the requirements of ISO 45001:2018.

- 4.4.17 Explain the audit methodology to determine the organisation's conformance to the requirements for documented information (including electronic documentation) as contained in ISO 45001:2018. Differentiate between the requirements to maintain and retain documented information.
- 4.4.18 Explain the methodology to audit the organisation's operations including planning and control.
- 4.4.19 Explain the audit methodology to confirm the organisation's control of any outsourced processes.
- 4.4.20 Explain the audit methodology to confirm the organisation's evaluation of its performance and in meeting its objectives.
- 4.4.21 Explain the methodology to audit and evaluate the effectiveness of the organisation's processes for internal audit and management review.
- 4.4.22 Explain the methodology to audit the organisation's improvement processes including these related to nonconformity and corrective action.
- 4.4.24 Describe the purpose of an Occupational Health and Safety in managing Occupational Health & Safety hazards work activities to evaluate whether all the significant risks have indeed been identified and mitigated
- 4.4.25 Describe the principles; processes and techniques used for the assessment of risks and the significance of these in Occupational Health & Safety Management Systems describe background and general Occupational Health & Safety issues, the concepts of Occupational Health & Safety risk management and sustainable development and strategic business drivers.
- 4.4.26 Understand and be able to audit objectives and targets and the Occupational Health & Safety Management intent.
- 4.4.27 Understand the different risk assessment tools and techniques applicable to that environment.
- 4.4.28 The responsibility and accountability for Occupational Health & Safety within the organizational structure.
- 4.4.29 Tools and techniques for measuring the performance of the Occupational Health & Safety management system, including audit and incident investigation.

#### **4.5 Standards**

A learner who successfully completes the course shall be able to:

- 4.5.1 Explain the purpose and intent of OHSMS and how it relates to the other standards e.g. ISO 14000 series documents, including available guidance on the application of the elements of ISO 45001:2018
- 4.5.2 Understand the background to development of the OHSAS 18001 management system standards and the current status of the ISO 45001:2018 series.
- 4.5.3 Explain the requirements of the current version of the ISO 45001:2018 and identify the objective evidence needed to show conformance and effectiveness of the entire Occupational Health and Safety management system.
- 4.5.4 Describe the ongoing process of change in the standards, the impact that changes in the ISO 45001:2018 and ISO 19011 or ISO/IEC 17021-1 standards may have on the audit process, and the need for auditors to keep up to date.
- 4.5.5 Differentiate between documentation, and records.
- 4.5.6 Evaluate the differing needs for documentation in a variety of situations.

#### **4.6 Legal and Other Requirements**

A learner who successfully completes the course shall be able to:

- 4.6.1 Describe the role of applicable legal and other requirements to which the auditee subscribes which relate to its Occupational Health & Safety hazards and risks.
- 4.6.2 Briefly describe the development of relevant OHS legislation, based on risk management.

- 4.6.3 Be able to understand and audit the legal and any other requirements to which the organization subscribes which relate to its Occupational Health and Safety aspects, including verification of the adequacy of implementation thereof, e.g. rulings, applications, etc.
- 4.6.4 Be able to understand and audit the impact of changes in legal and other requirements related to Occupational Health and Safety aspects of the auditee.
- 4.6.5 Ability to reference the key Occupational Health and Safety legislation relevant to environmental aspects, adverse or beneficial, including, pollution control via emissions to air, discharges to water and disposal to land, including control over hazardous substances, resource usage, fauna and flora and biodiversity. This should include an overview of relevant international Environmental treaties and agreements.

#### **4.7 Audit Responsibilities**

A learner who successfully completes the course shall be able to:

- 4.7.1 Explain the need for confidentiality and impartiality during all phases of the audit process.
- 4.7.2 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 4.7.3 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 4.7.4 Differentiate between the scope of an audit and the scope of the OHSMS management system.
- 4.7.5 Summarize the SAATCA Criteria for Certification of Occupational Health and Safety Auditors, national and other auditor certification programs, and the international recognition of SAATCA certifications.
- 4.7.6 Explain the SAATCA Auditors' Code of Conduct.

#### **4.8 The audit process – General**

A learner who successfully completes the course shall be able to:

- 4.8.1 Describe the OHSMS audit process and auditing principles, methodology and good practice as described in ISO standards and differentiate between the typical processes for internal audits and certification audits as defined in ISO 19011:2018 and ISO/IEC 17021-1:2015, respectively.

#### **4.9 The audit process – planning**

A learner who successfully completes the course shall be able to:

- 4.9.1 Describe the use of an audit programme and an audit plan and explain the differences between the two.
- 4.9.2 Describe the use of audit programming and planning with reference to first, second and third party auditing of OHSMS management systems.
- 4.9.3 Identify the information required to effectively plan the duration and the resources required to conduct an environmental management system audit.
- 4.9.4 Identify information required to effectively plan multiple site audits or audits of integrated management systems.
- 4.9.5 Explain the purpose and significance of the audit scope, the importance of audit team competency and the selection of audit team members, particularly with regard to knowledge of the relevant industry, standards and legislation.

- 4.9.6 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 4.9.7 Explain the use, benefits and potential limitations of an audit checklist.
- 4.9.8 Produce tailored checklists for use during conducting an audit.
- 4.9.10 Identify considerations for planning an audit of an activity for which there are no documented procedures, as well as auditing by electronic means or performing virtual audits.

#### **4.10 Performing the Audit**

A learner who successfully completes the course shall be able to:

- 4.10.1 Evaluate an organisation's effective implementation of procedures and methodologies to conform to ISO 45001:2018 with emphasis on the following three features:
  - 4.10.1.1 Elements of an organisation's OHSMS including policy and procedures, records showing relevant legal and other requirements (compliance obligations) to which the organisation subscribes which relate to its environmental aspects, environmental aspects and significant impacts, objectives, targets and programmes for achieving continual improvement and prevention of pollution.
  - 4.10.1.2 OHSMS hazards and methodologies for establishing risks, management controls over operations and monitoring of performance.
  - 4.10.1.3 The rationale for setting priorities, objectives and targets for management programmes to ensure that actions are taken to achieve planned improvements;
- 4.10.2 Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011:2018 and ISO/IEC 17021-1:2015.
- 4.10.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- 4.10.4 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 4.10.5 Take sufficient notes during the audit process in order to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 4.10.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- 4.10.7 Present audit findings and recommendations (where applicable) to the auditee.
- 4.10.8 Collect and analyse evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- 4.10.9 Explain the methodology of formulating audit findings, summarizing conformity and detailing nonconformity.
- 4.10.10 Explain the purpose of ongoing surveillances and audits.



#### **4.11 Reporting and follow-up of the Audit**

A learner who successfully completes the course shall be able to:

- 4.11.1 Summaries and record the results of an audit and demonstrate the ability to produce concise and accurate reports.
- 4.11.2 Evaluate objective evidence gathered and correctly identify conformity and nonconformity with requirements.
- 4.11.3 Explain the context of audit findings becoming nonconformities and their grading as described in ISO/IEC 17021-1:2015
- 4.11.4 Write nonconformity reports based on objective evidence obtained during the course of the audit and explain the three components when recording an audit finding as a nonconformity
- 4.11.5 Describe the identification of opportunities for improvement and describe the risks faced by the auditor in this process.
- 4.11.6 Make recommendations on the conformance and acceptability of a management system to the top management of the organisation based on objective evidence obtained during the audit.
- 4.11.7 Explain how the results of the audit can be used including for certification or supplier approval purposes.
- 4.11.8 Describe the processes for the audit team to evaluate proposals for corrective and preventive actions in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

The TCP may develop more detailed learning objectives, as appropriate.

Learners' achievement of the learning objectives shall be measured and recorded by the TCP.

#### **5. COMPETENCE REQUIREMENTS FOR OCCUPATIONAL HEALTH AND SAFETY MANAGEMENT SYSTEM AUDITORS AND AUDIT TEAM LEADERS**

A learner who successfully completes the course shall be able to:

- 5.1 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 5.2 Identify the competence requirements for environmental management system auditors and audit team leaders involved in first, second and third party certification audits. Such competence requirements shall include:
  - 5.2.1 The competence and registration requirements of the SAATCA auditor criteria;
  - 5.2.2 The generic competence requirements for third party certification auditors as contained in ISO/IEC 17021-1:2015 and specific competence requirements for occupational health and safety management system auditors as contained in IAF MD 22:2018.
  - 5.2.3 The desired personal behaviours of auditors and audit team leaders based on the guidance given in ISO 19011:2018 and Annex D of ISO/IEC 17021-1:2015.
- 5.3 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

## **6. COURSE CONTENT**

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

### **6.1 The course content shall cover:**

- 6.1.1 All aspects defined under Learning Objectives; and
- 6.1.2 Local requirements, culture, practice or approaches to auditing and the application of OHSAS as appropriate.

## **7. OTHER**

All other requirements - same as generic TCP requirements for Lead Auditor courses

# **END OF OHSMS CRITERIA**

**ANNEX 6-B: SCHEME TCP REQUIREMENTS – OCCUPATIONAL HEALTH AND SAFETY:**

**INTERNAL AUDITORS**

**1. INTRODUCTION**

The SAATCA Occupational Health & Safety auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing Occupational Health & Safety and of audit team management, as described in:

- 1.1 ISO 19011: 2018, Guidelines for auditing management systems;
- 1.2 ISO/IEC 17021-1: 2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (Sections 4. 7 and 9);
- 1.3 ISO/IEC TS 17023: 2013, Conformity assessment – Guidelines for determining the duration of management system certification audits.

The primary focus of the training course shall be on training learners to audit Occupational Health & Safety based on the ISO 45001:2018 standard, or recognized national and international equivalents, and applicable legal requirements relevant to environmental aspects.

**The TCP shall:**

- i) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- j) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.

**2. GENERAL**

These criteria are intended for use by auditor training approval bodies (SAATCA) and auditor training course providers (TCP's) for an Occupational Health and Safety Auditor training course

### **3. PRIOR KNOWLEDGE REQUIREMENT**

A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three (3) days related to understanding and implementation to the applicable standard, namely ISO 45001:2018 before enrolment to the auditing course.

Demonstrated competence in the requirements of ISO 45001:2018

- 3.1** Provide the information necessary to answer questions from an auditee on the rationale for some of the changes from the OHSAS18001:2007 to the ISO 45001:2018 management system standard and be able to describe, in broad terms, the relevance of the ISO Directives, Annex XL and the so called “high level structure” as well as the Future Challenges that influenced the 2018 version of the standard.

Describe the ongoing process of change in the Occupational Health and Safety management system standards, the impact that changes may have on the audit process and the need for auditors to keep up to date with these developments.

Explain the requirement of the ISO 45001:2018 Occupational Health and Safety management system standard and identify eligible objective evidence needed to demonstrate conformance of the entire environmental management system to these requirements.

List the required documented information that needs to be maintained and retained in terms of ISO 45001:2018 .

- 3.2** Knowledge assumed to be in place – Compliance obligations

Before the learner attend the auditor course he or she shall demonstrate the following knowledge and or competencies:

- 3.2.1** Differentiate between the three types of compliance obligations as required by ISO 45001:2018 .
- 3.2.2** List and explain all of the requirements of ISO 45001:2018 standard related to compliance obligations.
- 3.2.3** Be able to determine whether the organisation has identified all of the applicable compliance obligations<sup>2</sup> in order to determine conformity to the requirements of the ISO 45001:2018 standard.
- 3.2.4** Be able to determine whether the organisation has determined how these identified and applicable compliance obligations apply to its safety aspects in order to determine conformity to the requirement.
- 3.2.5** Be able to determine whether the organisation is indeed compliant to these identified and applicable compliance obligations in order to determine whether the organisation conform with:
- a) the commitment to comply with them and
  - b) whether the organisation has achieved the intended outcome of the Occupational Health and Safety to achieve compliance to such compliance obligations.
- 3.2.6** Be able to determine whether the organisation has indeed verified its compliance to the compliance obligations and whether such knowledge of the compliance status of the organisation is known by relevant persons.

## **5. LEARNING OUTCOMES**

### **5.1. General outcomes**

These criteria are intended for use by SAATCA and SAATCA-registered auditor training course providers (TCP's) for the development and delivery of an occupational health and safety management system lead auditor training course.

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the flowing paragraphs.

### **4.2 General concepts of management system auditing**

A learner who successfully completes the course shall be able to:

- 4.2.1 Describe the function of first, second, and third party audits, the similarities and differences, and the varying roles of the auditor, the auditee and the client in the audit of each of these types of audits.
- 4.2.2 Describe the systems and major role players in third party environmental management system certification.
- 4.2.3 Summarise the SAATCA criteria for the certification of Occupational Health and Safety management system auditors.
- 4.2.4 Explain the SAATCA Auditors' Code of Conduct.
- 4.2.5 Describe the principles of management system auditing (ISO 19011:2018).
- 4.2.6 Formulate and/or correctly interpret the objectives of an audit.
- 4.2.7 Formulate an audit objective.
- 4.2.8 Generate audit findings.
- 4.2.9 Formulate an audit conclusion.

### **4.3 Knowledge and application – Management system auditing standards and guidelines**

**A learner who successfully completes the course shall be able to:**

- 4.3.1 Explain the purpose, content and interrelationship of ISO 19011:2018, and the ISO 17000 suite of standards referenced in Section 1 of this Annexure.
- 4.3.2 Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies involved in certification / registration of the ISO 45001:2018 standard.
- 4.3.3 Explain the purpose, content and interrelationship of other normative documents including those published by the International Accreditation Forum (IAF) related to Occupational Health and Safety management systems.
- 4.3.4 Describe the principles of management system auditing (ISO 19011:2018).
- 4.3.5 Explain the purpose of auditing a management system.

- 4.3.6 Explain the benefits of auditing management systems by an accredited third party certification body.
- 4.3.7 Explain the business benefits of auditing a management system.
- 4.3.8 Explain the synergy and concepts of auditing a management system as they relate to the Plan-Do-Check-Act (PDCA) cycle.
- 4.3.9 Explain the context of “technical areas” as described in the ISO/IEC 17000 series of standards.
- 4.3.10 Explain the context of “documented information” as described in the ISO 45001:2018 family of standards and differentiate between the requirements to maintain and retain documented information.

#### **4.4 ISO 45001:2018 Knowledge related to Occupational Health and Safety Management System Auditing**

A learner who successfully completes the course shall be able to:

- 4.4.1 Verify safety performance enhancement in order to be able to assess conformity to the requirements of the ISO 45001:2018 standard.
- 4.4.2 Explain the typical role of top management in an audit.
- 4.4.3 Suggest approaches for auditing top management leadership and commitment.
- 4.4.4 Suggest approaches for auditing how Occupational Health and Safety conditions need to be addressed in terms of the ISO 45001:2018 requirements.
- 4.4.5 Explain the context of the organisation as described in ISO 45001:2018 and suggest approaches to determine conformity of the organisation’s understanding of internal and external issues, including environmental conditions.
- 4.4.6 Explain the concepts of determining the needs of interested parties as described in ISO 45001:2018 up to the point where they become compliance obligations, and suggest approaches to determine conformity to these requirements.
- 4.4.9 Suggest approaches to determine conformity to the need to ensure that the OHSMS management are relevant to the purpose and strategic context of the organisation.
- 4.4.10 Suggest approaches to verify conformity to the suite of control arrangements offered by ISO 45001:2018.
- 4.4.11 Suggest approaches for auditing the need to control or influence significant OHSMS hazards and risks as well as compliance obligations.
- 4.4.12 Suggest approaches for auditing the cross-cutting requirements of competence.
- 4.4.13 Suggest approaches to verify the enhancement of OHSMS performance in order to determine conformity to: a) the achievement of the intended outcomes of the OHSMS, b) the effectiveness of the OHSMS as required by the standard, and c) through monitoring and measurement of OHSMS performance.
- 4.4.14 Explain the audit methodology to evaluate the organisation’s OH&S policy in accordance with the requirements of ISO 45001:2018.
- 4.4.15 Explain the audit methodology to determine and manage the organisation’s actions to address risks and opportunities.
- 4.4.16 Explain the audit methodology to determine the organisation’s provision of resources in terms of its business strategy and in accordance with the requirements of ISO 45001:2018.

- 4.4.17 Explain the audit methodology to determine the organisation's conformance to the requirements for documented information (including electronic documentation) as contained in ISO 45001:2018. Differentiate between the requirements to maintain and retain documented information.
- 4.4.18 Explain the methodology to audit the organisation's operations including planning and control.
- 4.4.19 Explain the audit methodology to confirm the organisation's control of any outsourced processes.
- 4.4.20 Explain the audit methodology to confirm the organisation's evaluation of its performance and in meeting its objectives.
- 4.4.21 Explain the methodology to audit and evaluate the effectiveness of the organisation's processes for internal audit and management review.
- 4.4.22 Explain the methodology to audit the organisation's improvement processes including these related to nonconformity and corrective action.
- 4.4.24 Describe the purpose of an Occupational Health and Safety in managing Occupational Health & Safety hazards work activities to evaluate whether all the significant risks have indeed been identified and mitigated
- 4.4.25 Describe the principles; processes and techniques used for the assessment of risks and the significance of these in Occupational Health & Safety Management Systems describe background and general Occupational Health & Safety issues, the concepts of Occupational Health & Safety risk management and sustainable development and strategic business drivers.
- 4.4.26 Understand and be able to audit objectives and targets and the Occupational Health & Safety Management intent.
- 4.4.27 Understand the different risk assessment tools and techniques applicable to that environment.
- 4.4.28 The responsibility and accountability for Occupational Health & Safety within the organizational structure.
- 4.4.29 Tools and techniques for measuring the performance of the Occupational Health & Safety management system, including audit and incident investigation.

#### **4.5 Standards**

A learner who successfully completes the course shall be able to:

- 4.5.1 *Explain the purpose and intent of OHSMS and how it relates to the other standards e.g. ISO 14000 series documents, including available guidance on the application of the elements of ISO 45001:2018*
- 4.5.2 Understand the background to development of the OHSAS 18001 management system standards and the current status of the ISO 45001:2018 series.
- 4.5.3 Explain the requirements of the current version of the ISO 45001:2018 and identify the objective evidence needed to show conformance and effectiveness of the entire Occupational Health and Safety management system.
- 4.5.4 Describe the ongoing process of change in the standards, the impact that changes in the ISO 45001:2018 and ISO 19011:2018 standards may have on the audit process, and the need for auditors to keep up to date.
- 4.5.5 Differentiate between documentation, and records.
- 4.5.6 Evaluate the differing needs for documentation in a variety of situations.

#### **4.6 Legal and Other Requirements**

A learner who successfully completes the course shall be able to:

- 4.6.1 Describe the role of applicable legal and other requirements to which the auditee subscribes which relate to its Occupational Health & Safety hazards and risks.
- 4.6.2 Briefly describe the development of relevant OHS legislation, based on risk management.



- 4.6.3 Be able to understand and audit the legal and any other requirements to which the organization subscribes which relate to its Occupational Health and Safety aspects, including verification of the adequacy of implementation thereof, e.g. rulings, applications, etc.
- 4.6.4 Be able to understand and audit the impact of changes in legal and other requirements related to Occupational Health and Safety aspects of the auditee.
- 4.6.5 Ability to reference the key Occupational Health and Safety legislation relevant to environmental aspects, adverse or beneficial, including, pollution control via emissions to air, discharges to water and disposal to land, including control over hazardous substances, resource usage, fauna and flora and biodiversity. This should include an overview of relevant international Environmental treaties and agreements.

#### **4.7 Audit Responsibilities**

A learner who successfully completes the course shall be able to:

- 4.7.1 Explain the need for confidentiality and impartiality during all phases of the audit process.
- 4.7.2 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 4.7.3 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 4.7.4 Differentiate between the scope of an audit and the scope of the OHSMS management system.
- 4.7.5 Summarize the SAATCA Criteria for Certification of Occupational Health and Safety Auditors, national and other auditor certification programs, and the international recognition of SAATCA certifications.
- 4.7.6 Explain the SAATCA Auditors' Code of Conduct.

#### **4.8 The audit process – General**

A learner who successfully completes the course shall be able to:

- 4.8.1 Describe the OHSMS audit process and auditing principles, methodology and good practice as described in ISO standards and differentiate between the typical processes for internal audits and certification audits as defined in ISO 19011:2018, respectively.

#### **4.9 The audit process – planning**

A learner who successfully completes the course shall be able to:

- 4.9.1 Describe the use of an audit programme and an audit plan and explain the differences between the two.
- 4.9.2 Describe the use of audit programming and planning with reference to first auditing of OHSMS management systems.
- 4.9.3 Identify the information required to effectively plan the duration and the resources required to conduct an environmental management system audit.
- 4.9.4 Identify information required to effectively plan multiple site audits or audits of integrated management systems.
- 4.9.5 Explain the purpose and significance of the audit scope, the importance of audit team competency and the selection of audit team members, particularly with regard to knowledge of the relevant industry, standards and legislation.
- 4.9.6 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.

- 4.9.7 Explain the use, benefits and potential limitations of an audit checklist.
- 4.9.8 Produce tailored checklists for use during conducting an audit.
- 4.9.10 Identify considerations for planning an audit of an activity for which there are no documented procedures, as well as auditing by electronic means or performing virtual audits.

#### **4.10 Performing the Audit**

A learner who successfully completes the course shall be able to:

- 4.10.1 Evaluate an organisation's effective implementation of procedures and methodologies to conform to ISO 45001:2018 with emphasis on the following three features:
  - 4.10.1.1 Elements of an organisation's OHSMS including policy and procedures, records showing relevant legal and other requirements (compliance obligations) to which the organisation subscribes which relate to its environmental aspects, environmental aspects and significant impacts, objectives, targets and programmes for achieving continual improvement and prevention of pollution.
  - 4.10.1.2 OHSMS hazards and methodologies for establishing risks, management controls over operations and monitoring of performance.
  - 4.10.1.3 The rationale for setting priorities, objectives and targets for management programmes to ensure that actions are taken to achieve planned improvements;
- 4.10.2 Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011:2018.
- 4.10.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- 4.10.4 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 4.10.5 Take sufficient notes during the audit process in order to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 4.10.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- 4.10.7 Present audit findings and recommendations (where applicable) to the auditee.
- 4.10.8 Collect and analyse evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- 4.10.9 Explain the methodology of formulating audit findings, summarizing conformity and detailing nonconformity.

#### **4.11 Reporting and follow-up of the Audit**

A learner who successfully completes the course shall be able to:

- 4.11.1 Summaries and record the results of an audit and demonstrate the ability to produce concise and accurate reports.
- 4.11.2 Evaluate objective evidence gathered and correctly identify conformity and nonconformity with requirements.
- 4.11.3 Explain the context of audit findings becoming nonconformities and their grading.

- 4.11.4 Write nonconformity reports based on objective evidence obtained during the course of the audit and explain the three components when recording an audit finding as a nonconformity.
- 4.11.5 Describe the identification of opportunities for improvement and describe the risks faced by the auditor in this process.
- 4.11.6 Make recommendations on the conformance and acceptability of a management system to the top management of the organisation based on objective evidence obtained during the audit.
- 4.11.7 Explain how the results of the audit can be used including for certification or supplier approval purposes.
- 4.11.8 Describe the processes for the audit to evaluate proposals for corrective and preventive actions in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

The TCP may develop more detailed learning objectives, as appropriate.

Learners' achievement of the learning objectives shall be measured and recorded by the TCP.

## **5. COMPETENCE REQUIREMENTS FOR OHSMS MANAGEMENT SYSTEM INTERNAL AUDITORS**

A learner who successfully completes the course shall be able to:

- 5.1 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 5.2 Identify the competence requirements for environmental management system auditors and audit team leaders involved in first, second and third party certification audits. Such competence requirements shall include:
- 5.3 The competence and registration requirements of the SAATCA auditor criteria;
- 5.4 The desired personal behaviours of internal auditors based on the guidance given in ISO 19011:2018.
- 5.5 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

## **6. COURSE CONTENT**

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

### **6.1 The course content shall cover:**

- 6.1.1 All aspects defined under Learning Objectives; and
- 6.1.2 Local requirements, culture, practice or approaches to auditing and the application of OHSMS as appropriate.

## **7. OTHER**

All other requirements - same as generic TCP requirements for Lead Auditor courses

# **END OF OHSMS CRITERIA (INTERNAL AUDITORS)**

## **ANNEXURE 6-C: UNDERSTANDING AND IMPLEMENTATION TRAINING: ISO 45001:2018**

### **1. INTRODUCTION**

Occupational Health & Safety understanding and implementation training course shall provide learners with a thorough understanding of the history and development of ISO 45001:2018, key terms, definitions and the ISO standardized high level structure..

- **The TCP shall:**

- k) present the body of knowledge of understanding and implementation in such a way that learners are able to identify the key requirements and benefits of ISO 45001:2018; and
- l) encourage learners to critically analyze their own performance as a means for developing effective management system skills.

### **2. GENERAL**

These criteria is intended for use by registered (SAATCA) training course providers (TCP's) for an Occupational Health and Safety understanding and implementation training course

### **3. PRIOR KNOWLEDGE REQUIREMENT**

There are no prior knowledge requirements for this training; however, it is advisable for learners to have knowledge of OHSAS 18001:2007 and Annex SL. The learning duration for this training will be three minimum (3) days.

### **4. LEARNING OBJECTIVES**

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the flowing paragraphs.

- 4.1 Explain what ISO 45001:2018 is.
- 4.2 Explain why the ISO 45001:2018 was introduced.
- 4.3 Fundamental principles and concepts of ISO 45001:2018
- 4.4 Understand the main differences between OHSAS 18001 and ISO 45001:2018
- 4.5 List top level clauses of the new high level structure of ISO 45001:2018
- 4.6 Understand how to apply the new High-Level Structure to an existing OHSMS
- 4.7 Understand, interpret and plan the implementation of ISO 45001:2018 changes
- 4.8 Learn how to effectively apply the ISO 45001:2018 changes to an existing OHSMS
- 4.9 Explain the standard and regulatory framework
- 4.10 Understanding ISO 45001:2018 requirements
- 4.11 Leadership and worker participation
- 4.12 Learn why common clauses are important for ISO 45001:2018
- 4.13 Plan and carry out the OHSMS migration based on ISO 45001:2018
- 4.14 Explain steps toward the implementation of ISO 45001:2018

- 4.15 Explain SAATCA process for Migration to ISO 45001:2018:2018 certification
- 4.16 Continual improvement of an OHSMS based on ISO 45001:2018
- 4.17 How long do you have to migrate from OHSAS 18001 to ISO 45001:2018

## **5. COMPETENCE REQUIREMENTS FOR OHSMS MANAGEMENT SYSTEM**

A learner who successfully completes the course shall be able to:

- Learn how to implement an occupational health and safety management system within your organization to eliminate and/or minimise risk to employees and other interested parties who may be exposed to OH&S risks associated with your activities
- Learn how to migrate your organization to meet the new requirements of the ISO 45001:2018 standard
- Understand the conformance requirements associated with your stated OH&S policy
- Learn how to implement, maintain and continually improve your organization's OHSMS management system

## **6. COURSE CONTENT**

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

### **6.1 The course content shall cover:**

- 6.1.1 All aspects defined under Learning Objectives; and
- 6.1.2 Local requirements, culture, practice or approaches to auditing and the application of OHSMS as appropriate.

## **7. OTHER**

All other requirements - same as generic TCP requirements for Lead Auditor courses

## **END OF OHSMS CRITERIA: UNDERSTANDING & IMPLEMENTATION**

**ANNEX 7: SCHEME SPECIFIC TCP REQUIREMENTS – PRODUCT (Under review)**

## **ANNEX 8: SCHEME TCP REQUIREMENTS – ROAD SAFETY MANAGEMENT SYSTEM**

### **LEAD AUDITOR/AUDITOR**

#### **1. INTRODUCTION**

The SAATCA Road Safety Management System auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing road safety management systems and of audit team management, as described in:

- 1.1 ISO 19011:2018, Guidelines for auditing management systems;
- 1.2 ISO/IEC 17021-1:2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (Sections 4. 7 and 9);
- 1.3 ISO/IEC 17021-2: 2016, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 2: Competence requirements for auditing and certification of road safety management systems;
- 1.4 ISO/IEC TS 17023: 2013, Conformity assessment – Guidelines for determining the duration of management system certification audits.

The primary focus of the training course shall be on learners to audit road safety management systems against the requirements of the ISO 39001: 2012 standard (or recognized national equivalents) and applicable legal requirements (compliance obligations) relevant to road safety aspects.

The TCP shall:

- a) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- b) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.



## **2. PRIOR KNOWLEDGE REQUIREMENT**

### **2.1 Knowledge assumed to be in place<sup>1</sup> – ISO 39001:2012**

A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three (3) days related to understanding and implementation to the applicable standard, namely ISO 39001:2012 before enrolment to the auditing course.

### **2.2 Demonstrated competence in the requirements of ISO 39001:2012**

- 2.2.1 Interpret the requirements of ISO 39001:2012 in the context of an audit
- 2.2.2 Describe the purpose of: an RTS management system, of RTS management systems standards, of management system audit and of third party certification
- 2.2.3 Explain the role of an auditor to plan, conduct, report and follow up RTS management system audit in accordance with ISO 19011 (and ISO 17021 where appropriate)
- 2.2.4 Plan, conduct, report and follow up an audit of an RTS management systems to establish conformance (or otherwise) with ISO 39001:2012 and in accordance with ISO 19011:2018 (and ISO 17021-1:2015 where appropriate)
- 2.2.5 What are the benefits of adopting ISO 39001:2012 to your organization?
- 2.2.6 Explain the intent behind pertinent terminologies used in ISO 39001:2012
- 2.2.8 Explain the requirement of the ISO 39001:2012 road safety management system standard and identify eligible objective evidence needed to demonstrate conformance of the entire road safety management system to these requirements.
- 2.2.9 List the required documented information that needs to be maintained and retained in terms of ISO 39001:2012.

### **2.3 Knowledge assumed to be in place – Compliance obligations**

Before the learner attend the auditor course he or she shall demonstrate the following knowledge and or competencies:

- 2.3.1 List and explain all of the requirements of ISO 39001:2012 standard related to compliance obligations.
- 2.3.2 Be able to determine whether the organisation has identified all of the applicable compliance obligations in order to determine conformity to the requirements of the ISO 39001: 2012 standard
- 2.3.3 Be able to determine whether the organisation has determined how these identified and applicable compliance obligations apply to its road safety in order to determine conformity to the requirement.
- 2.3.4 Be able to determine whether the organisation is indeed compliant to these identified and applicable compliance obligations in order to determine whether the organisation conform with:
  - a) the commitment to comply with them and
  - b) whether the organisation has achieved the intended outcome of the road safety management system to achieve compliance to such compliance obligations.
- 2.3.5 Be able to determine whether the organisation has indeed verified its compliance to the compliance obligations and whether such knowledge of the compliance status of the organisation is known by relevant persons.

### **3. LEARNING OUTCOMES**

#### **3.1 General outcomes**

These criteria are intended for use by SAATCA and SAATCA-registered auditor training course providers (TCP's) for the development and delivery of a road safety management system lead auditor training course.

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives and outcomes detailed in this Annex 8.

#### **3.2 General concepts of management system auditing**

A learner who successfully completes the course shall be able to:

- 3.2.19 Describe the function of first, second, and third party audits, the similarities and differences, and the varying roles of the auditor, the auditee and the client in the audit of each of these types of audits.
- 3.2.20 Describe the systems and major role players in third party road safety management system certification.
- 3.2.21 Summarise the SAATCA criteria for the certification of road safety management system auditors.
- 3.2.22 Explain the SAATCA Auditors' Code of Conduct.
- 3.2.23 Describe the principles of management system auditing (ISO 19011:2018) and the principles of certification (ISO 17021-1, 2015).
- 3.2.24 Formulate and/or correctly interpret the objectives of an audit.
- 3.2.25 Formulate an audit objective.
- 3.2.26 Generate audit findings.
- 3.2.27 Formulate an audit conclusion.

#### **3.3 Knowledge and application – Management system auditing standards and guidelines**

A learner who successfully completes the course shall be able to:

- 3.3.1 Explain the purpose, content and interrelationship of ISO 19011: 2018, and the ISO 17000 suite of standards referenced in Section 1 of this Annexure.
- 3.3.20 Describe the systems of accredited certification / registration and the differing functions of the accreditation bodies, registrars / certification bodies, auditor certification bodies, training course approval bodies involved in certification / registration of the ISO 39001:2012 standard.
- 3.3.21 Explain the purpose, content and interrelationship of other normative documents including those published by the International Accreditation Forum (IAF) related to road safety management systems.
- 3.3.22 Describe the principles of management system auditing (ISO 19011: 2018) and the principles of certification (ISO 17021-1: 2015).
- 3.3.23 Explain the purpose of auditing a management system.
- 3.3.24 Explain the benefits of auditing management systems by an accredited third party certification body.
- 3.3.25 Explain the business benefits of auditing a management system.

- 3.3.26 Explain the synergy and concepts of auditing a management system as they relate to the Plan-Do-Check-Act (PDCA) cycle.
- 3.3.27 Explain the context of “technical areas” as described in the ISO/IEC 17000 series of standards.
- 3.3.28 Explain the context of “documented information” as described in the ISO 39001:2012 family of standards and differentiate between the requirements to maintain and retain documented information.

#### **3.4 ISO 39001: 2012 knowledge related to road safety management system auditing**

A learner who successfully completes the course shall be able to:

- 3.4.57 Verify road safety performance enhancement in order to be able to assess conformity to the requirements of the ISO 39001: 2012 standard.
- 3.4.58 Explain the typical role of top management in an audit.
- 3.4.59 Suggest approaches for auditing top management leadership and commitment.
- 3.4.60 Suggest approaches for auditing how road safety conditions need to be addressed in terms of the ISO 39001: 2012 requirements.
- 3.4.61 Explain the context of the organisation as described in ISO 39001:2012 and suggest approaches to determine conformity of the organisation’s understanding of internal and external issues, including road safety conditions.
- 3.4.62 Explain the concepts of determining the needs of interested parties as described in ISO 39001: 2012 up to the point where they become compliance obligations, and suggest approaches to determine conformity to these requirements.
- 3.4.63 Suggest approaches to determine conformity to the need to ensure that the road safety management are relevant to the purpose and strategic context of the organisation.
- 3.4.64 Suggest approaches to verify conformity to the suite of control arrangements offered by ISO 39001:2012.
- 3.4.65 Suggest approaches for auditing the need to control or influence significant road safety aspects and compliance obligations.
- 3.4.66 Suggest approaches for auditing the cross-cutting requirements of competence.
- 3.4.67 Suggest approaches to verify the achievement of at least the three required intended outcomes listed in ISO 39001: 2012 in order to make an audit conclusion to the effect.
- 3.4.68 Suggest approaches to verify the enhancement of road safety performance in order to determine conformity to: a) the achievement of the intended outcomes of the road safety management systems, b) the effectiveness of the road safety management systems as required by the standard, and c) through monitoring and measurement of road safety performance.
- 3.4.69 Explain the audit methodology to evaluate the organisation’s road safety policy in accordance with the requirements of ISO 39001:2012.
- 3.4.70 Explain the audit methodology to determine and manage the organisation’s actions to address risks and opportunities.
- 3.4.71 Explain the audit methodology to determine the organisation’s provision of resources in terms of its business strategy and in accordance with the requirements of ISO 39001:2012.

- 3.4.72 Explain the audit methodology to determine the organisation's conformance to the requirements for documented information (including electronic documentation) as contained in ISO 39001: 2012. Differentiate between the requirements to maintain and retain documented information.
- 3.4.73 Explain the methodology to audit the organisation's operations including planning and control.
- 3.4.74 Explain the audit methodology to determine the organisation's focus and conformance with design and development requirements of ISO 39001:2012.
- 3.4.75 Explain the audit methodology to confirm the organisation's control of any outsourced processes.
- 3.4.76 Explain the audit methodology to confirm the organisation's control in line with the life cycle perspective.
- 3.4.77 Explain the audit methodology to confirm the organisation's evaluation of its performance and in meeting its objectives.
- 3.4.78 Explain the methodology to audit and evaluate the effectiveness of the organisation's processes for internal audit and management review.
- 3.4.79 Explain the methodology to audit the organisation's improvement processes including these related to nonconformity and corrective action.

### **3.5 Legal and Other Requirements**

A learner who successfully completes the course shall be able to:

- 3.5.1 Describe the role of applicable legal and other requirements to which the auditee subscribes which relate to its road safety management systems risks and opportunities.
- 3.5.2 Briefly describe the development of relevant road safety legislation, based on risk management.
- 3.5.3 Be able to understand and audit the legal and any other requirements to which the organization subscribes which relate to its RTS aspects, including verification of the adequacy of implementation thereof, e.g. rulings, applications, etc.
- 3.5.4 Be able to understand and audit the impact of changes in legal and other requirements related to RTS aspects of the auditee.

### **3.6 Audit Responsibilities**

A learner who successfully completes the course shall be able to:

- 3.6.1 Explain the need for confidentiality and impartiality during all phases of the audit process.
- 3.6.2 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 3.6.3 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 3.6.4 Differentiate between the scope of an audit and the scope of the road safety management system.
- 3.6.5 Summarize the SAATCA Criteria for Certification of Road Safety Auditors and other auditor certification programs.
- 3.6.6 Explain the SAATCA Auditors' Code of Conduct.

### **3.7 The audit process – General**

A learner who successfully completes the course shall be able to:

- 3.7.1 Describe the EMS audit process and auditing principles, methodology and good practice as described in ISO standards and differentiate between the typical processes for internal audits and certification audits as defined in ISO 19011: 2018 and ISO/IEC 17021-1:2015, respectively.

### **3.8 The audit process – planning**

A learner who successfully completes the course shall be able to:

- 3.8.1 Describe the use of an audit programme and an audit plan and explain the differences between the two.
- 3.8.2 Describe the use of audit programming and planning with reference to first, second and third party auditing of road safety management systems.
- 3.8.3 Identify the information required to effectively plan the duration and the resources required to conduct an road safety management system audit.
- 3.8.4 Identify information required to effectively plan multiple site audits or audits of integrated management systems.
- 3.8.5 Explain the purpose and significance of the audit scope, the importance of audit team competency and the selection of audit team members, particularly with regard to knowledge of the relevant industry, standards and legislation.
- 3.8.6 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 3.8.7 Explain the use, benefits and potential limitations of an audit checklist.
- 3.8.8 Produce tailored checklists for use during conducting an audit.
- 3.8.9 Identify considerations for planning an audit of an activity for which there are no documented procedures, as well as auditing by electronic means or performing virtual audits.

### **3.9 Performing the Audit**

A learner who successfully completes the course shall be able to:

- 3.9.1 Evaluate an organization's effective implementation of procedures and methodologies to conform to ISO 39001:2012 with emphasis on the following three features:
  - 3.9.1.1 Elements of an organisation's RTSMS including policy and procedures, records showing relevant legal and other requirements (compliance obligations) to which the organisation subscribes which relate to its objectives, targets and programmes for achieving continual improvement and prevention of accidents.
  - 3.9.1.2 Road safety and methodologies for establishing significant impacts, management controls over operations and monitoring of performance.
  - 3.9.1.3 The rationale for setting priorities, objectives and targets for management programmes to ensure that actions are taken to achieve planned improvements;
- 3.9.2 Perform an audit in accordance with the principles, process and methodology as described in the current revision of ISO 19011:2018 and ISO/IEC 17021-1:2015.

- 3.9.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the auditee during the audit.
- 3.9.4 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 3.9.5 Take sufficient notes during the audit process in order to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 3.9.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- 3.9.7 Present audit findings and recommendations (where applicable) to the auditee.
- 3.9.8 Collect and analyses evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- 3.9.9 Explain the methodology of formulating audit findings, summarizing conformity and detailing nonconformity.
- 3.9.10 Explain the purpose of ongoing surveillances and audits.

### **3.10 Reporting and follow-up of the Audit**

A learner who successfully completes the course shall be able to:

- 3.10.1 Summarize and record the results of an audit and demonstrate the ability to produce concise and accurate reports.
- 3.10.2 Evaluate objective evidence gathered and correctly identify conformity and nonconformity with requirements.
- 3.10.3 Explain the context of audit findings becoming nonconformities and their grading as described in ISO/IEC 17021-1:2015
- 3.10.4 Write nonconformity reports based on objective evidence obtained during the course of the audit and explain the three components when recording an audit finding as a nonconformity
- 3.10.5 Describe the identification of opportunities for improvement and describe the risks faced by the auditor in this process.
- 3.10.6 Make recommendations on the conformance and acceptability of a management system to the top management of the organization based on objective evidence obtained during the audit.
- 3.10.7 Explain how the results of the audit can be used including for certification or supplier approval purposes.
- 3.10.8 Describe the processes for the audit team to evaluate proposals for corrective and preventive actions in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

The TCP may develop more detailed learning objectives, as appropriate.

Learners' achievement of the learning objectives shall be measured and recorded by the TCP.

## **6. COMPETENCE REQUIREMENTS FOR ROAD SAFETY MANAGEMENT SYSTEM AUDITORS AND AUDIT TEAM LEADERS**

A learner who successfully completes the course shall be able to:

- 5.3 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 5.4 Identify the competence requirements for road safety management system auditors and audit team leaders involved in first, second and third party certification audits. Such competence requirements shall include:
  - 5.4.1 The competence and registration requirements of the SAATCA auditor criteria;
  - 5.4.2 The generic competence requirements for third party certification auditors as contained in ISO/IEC 17021-1:2015 and specific competence requirements for road safety management system auditors as contained in ISO/IEC 17021-2:2012
  - 5.4.3 The desired personal behaviours of auditors and audit team leaders based on the guidance given in ISO 19011:2018 and Annex D of ISO/IEC 17021-1:2015.
- 5.5 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

## **5. COURSE CONTENT**

Early in the delivery of the course, the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation.

The course content shall cover:

- 5.6 All aspects defined under Learning Objectives; and
- 5.7 Local requirements, culture, practice or approaches to auditing and the application of ISO 39001:2012 as appropriate.

## **6. OTHER**

All other requirements are the same as the generic TCP requirements for Lead Auditor courses.

## **THE END OF RTSMS CRITERIA**



## **SCHEME SPECIFIC CRITERIA**

### **ANNEX 9-A: SCHEME TCP REQUIREMENTS MEDICAL DEVICE - QUALITY MANAGEMENT SYSTEM**

#### **LEAD AUDITORS / AUDITORS**

##### **1. INTRODUCTION**

The Quality Management System auditor training course shall provide training for potential auditors and audit team leaders in the principles and practices of auditing quality management systems and of audit team management, as described in:

- 1.1 ISO 19011: 2018, Guidelines for auditing management systems;
- 1.2 ISO/IEC 17021-1: 2015, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (Sections 4. 7 and 9);
- 1.3 ISO/IEC 17021-2: 2016, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 2: Competence requirements for auditing and certification of environmental management systems;
- 1.4 ISO/IEC TS 17023: 2013, Conformity assessment – Guidelines for determining the duration of management system certification audits.

The primary focus of the training course shall be on training learners to audit medical devices - quality management systems against the requirements of the ISO 13485:2016 standard (or recognized national equivalents) and the organization's own management processes.

The TCP shall:

- a) present the body of knowledge of auditing in such a way that learners are able to identify and understand good auditing practice; and
- b) encourage learners to critically analyse their own performance as a means for developing effective auditor skills.

##### **2. PRIOR KNOWLEDGE REQUIREMENT**

###### **2.1. Knowledge assumed to be in place – ISO 13485:2016**

**2.1.1.** A pre-requisite must be indicated to the learner and enforced by the TCP namely that the learner has completed a course of at least three (3) days related to understanding and implementation to the applicable standard, namely ISO 13485:2016 before enrolment to the auditing course.

##### **3. GENERAL**

These criteria are intended for use by SAATCA and SAATCA registered auditor training course providers (TCP's) for a quality management system lead auditor training course.

##### **4. LEARNING OUTCOMES**

A learner who successfully completes the course shall be able to demonstrate achievement of the learning objectives detailed in the following learning outcomes below.

#### **4.3 Concepts of management system auditing**

A learner who successfully completes the course shall be able to:

- 4.3.1 Describe the function of first, second, and third party audits, the similarities and differences, and the varying role of the auditor, the auditee and the client in the audit of each of these.
- 4.3.2 Describe the systems and major role players in third party medical devices - quality management system certification.
- 4.3.3 Summarize the SAATCA Criteria for Certification of Medical Devices - Quality Management System Auditors.
- 4.3.4 Explain the SAATCA Auditors' Code of Conduct.

#### **4.4 Standards and Other Normative Documents**

A learner who successfully completes the course shall be able to:

- 4.4.1 Understand the background to the development of standards.
- 4.4.2 Describe the main role players in the development of National and International standards.
- 4.4.3 Describe the difference between auditable requirement standards and guidance documents.
- 4.4.4 Describe medical devices - quality management system standards and relevant conformity assessment standards.
- 4.4.5 Describe the ongoing process of change in the ISO medical device and quality management system standards, the impact that changes in the ISO 13485:2016 and ISO/IEC 17021-1:2015 standards may have on the audit process, and the need for auditors to keep up to date with these developments.
- 4.4.6 Explain the purpose, content and interrelationship of, ISO 13485:2016 and ISO 14971.
- 4.4.7 Explain the purpose, content and interrelationship of ISO 19011:2011, ISO 17021-1:2015 and ISO/IEC 17021-3:2013.
- 4.4.8 Explain the purpose, content and interrelationship of other normative documents including those published by the International Accreditation Forum (IAF) related to quality management systems.

#### **4.5 Knowledge and Application**

A learner who successfully completes the course shall be able to:

- 4.5.1 Draw links from the quality management for medical device principles contained in ISO 13485:2016 and the implementation of requirements for a quality management system for medical device conforming to ISO 13485:2016.
- 4.5.2 Describe the principles of auditing and the principles of certification.
- 4.5.3 Explain the purpose of auditing a quality management system for medical device.
- 4.5.4 Explain the business benefits of auditing a quality management system for medical device.
- 4.5.5 Explain the synergy and concepts of auditing of medical device and quality management systems related to Plan Do Check Act (PDCA), the process approach and risk-based thinking.
- 4.5.6 Explain the benefits of auditing quality management systems by a third-party certification body.
- 4.5.7 Explain the differences in auditing quality management systems for medical devices and legal compliance audits.
- 4.5.8 Explain the context of "technical areas" as described in the ISO/IEC 17021-1:2018 series of standards.

## **4.6 Audit Responsibilities**

A learner who successfully completes the course shall be able to:

- 4.6.1 Explain the need for confidentiality and impartiality during all phases of the audit process.
- 4.6.2 Explain the etiquette of audit practice and the need for auditors to be sensitive to local customs and obey any rules and regulations of auditees, especially where issues of health and safety are involved.
- 4.6.3 Describe and undertake the responsibilities of an auditor and of an audit team leader.
- 4.6.4 Differentiate between the scope of an audit and the scope of the quality management system.
- 4.6.5 Describe the basis on which certain clauses of the ISO 13485:2016 requirements may be deemed as “not applicable”

## **4.7 Audit Process**

### **4.7.1 Planning the Audit**

A learner who successfully completes the course shall be able to:

- 4.7.1.1 Describe the use of an audit programme and an audit plan. Explain the differences between the two.
- 4.7.1.2 Describe the use of audit programming and planning with reference to 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> party auditing of quality management systems.
- 4.7.1.3 Identify the information required to effectively plan the duration and the resources required to conduct an audit.
- 4.7.1.4 Identify information required to effectively plan multiple site audits or audits of integrated management systems.
- 4.7.1.5 Explain the purpose and significance of the audit scope, the importance of audit team competency and the selection of audit team members, particularly with regard to knowledge of the relevant industry, regulations and legislation.
- 4.7.1.6 Explain and understand the objectives of audit sampling, the risk associated with sampling as well as knowledge and understanding of sampling techniques.
- 4.7.1.7 Explain the use, benefits and potential limitations of an audit checklist.
- 4.7.1.8 Produce tailored checklists for use during an audit.
- 4.7.1.9 Identify considerations for planning an audit of an activity for which there are no documented procedures, auditing by electronic means or virtual audits.

### **4.5.2 Performing the Audit**

A learner who successfully completes the course shall be able to:

- 4.5.2.1 Evaluate, through auditing, an organisation's effective implementation of processes, procedures and methodologies to conform to the requirements of ISO 9001:2015 with emphasis on the following two features.
  - c) the organization's need to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements
  - d) the organization's intentions to enhance customer satisfaction through the effective application of the system, including processes for improvement of the system and the assurance of conformity of products and services to customer and applicable statutory and regulatory requirements.
- 4.5.2.2 Perform an audit in accordance with the principles, processes and methodology as described in ISO 19011:2018 and ISO/IEC 17021-1:2015.

- 4.5.2.3 Manage opening and closing meetings and understand the purpose of holding regular meetings with the audit team and auditee during the audit.
- 4.5.3.4 Take notes during the audit process sufficient to provide objective evidence of system conformity as well as nonconformity with the criteria against which the audit is being conducted.
- 4.5.3.5 Demonstrate effective interpersonal skills and interview techniques including an ability to listen and question.
- 4.5.3.6 Demonstrate sensitivity to the needs and expectations of the auditee, including local customs and culture
- 4.5.3.7 Present audit findings and recommendations to the auditee.
- 4.5.3.8 Collect and analyse evidence during the audit, relate specific situations to the appropriate elements of the standard, and exercise objectivity in the review of evidence collected.
- 4.5.2.9 Explain the methodology of audit findings summarizing conformity and detailing nonconformity.
- 4.5.3.9 Explain the purpose of ongoing surveillances and audits.

#### **4.5.4 Detailed audits of quality management systems conforming to ISO 9001:2015**

- 4.5.4.1 Explain the typical role of top management in an audit and suggest approaches for auditing top management leadership and commitment.
- 4.5.4.2 Explain the context of the organization as described in ISO 9001:2015 and suggest approaches to determine conformity of the organization's understanding of internal and external issues.
- 4.5.4.3 Explain the concepts of the involvement of interested parties as described in ISO 9001:2015 and suggest approaches to determine conformity of the organization's understanding of the identification and needs of interested parties.
- 4.5.4.4 Explain the audit methodology to determine the implementation of PDCA, Process Approach and Risk Based Thinking in the organization's quality management system.
- 4.5.4.5 Explain the audit methodology to determine the organization's focus on its customers and on customer satisfaction.
- 4.5.4.6 Explain the audit methodology to evaluate the organization's quality policy and quality objectives in accordance with the requirements of ISO 9001:2015.
- 4.5.4.7 Explain the audit methodology to determine the organization's actions to address risks and opportunities.
- 4.5.4.8 Explain the audit methodology to determine the organization's focus on its customers and on customer satisfaction.
- 4.5.4.9 Explain the audit methodology to determine the organization's provision of resources in terms of its business strategy and in accordance with the requirements of ISO 9001:2015.
- 4.5.4.10 Explain the audit methodology to determine the organization's focus on organizational knowledge and conformance to the requirements of ISO 9001:2015.
- 4.5.4.11 Explain the audit methodology to determine the organization's conformance to the requirements for documented information (including electronic documentation) as contained in ISO 9001:2015. Differentiate between the requirements to maintain and retain documented information.
- 4.5.4.12 Explain the methodology to audit the organization's operations including planning and control, and the requirements and provision of products and services.
- 4.5.4.13 Explain the audit methodology to determine the organization's focus and conformance with design and development requirements of ISO 9001:2015.
- 4.5.4.14 Explain the audit methodology to confirm the organization's control of any outsourced processes.
- 4.5.4.15 Explain the audit methodology to confirm the organization's control of release of products and services and post-delivery activities.
- 4.5.4.16 Explain the audit methodology to confirm the organization's evaluation of its performance and in meeting its objectives.
- 4.5.4.17 Explain the methodology to audit and evaluate the effectiveness of the organization's processes for internal audit and management review.
- 4.5.4.18 Explain the methodology to audit the organization's improvement processes including these related to nonconformity and corrective action.

#### **4.5.5 Reporting and Following Up the Audit**

A learner who successfully completes the course shall be able to:

- 4.5.5.1 Summarize and record the results of an audit and demonstrate the ability to produce concise and accurate reports.
- 4.5.5.2 Evaluate objective evidence gathered and correctly identify conformity and nonconformity with requirements.
- 4.5.5.3 Explain the context of audit findings becoming nonconformities and their grading as described in ISO/IEC 17021-1:2015
- 4.5.5.4 Write nonconformity reports based on objective evidence obtained during the course of the audit and explain the three components when recording an audit finding as a nonconformity
- 4.5.5.5 Describe the identification of opportunities for improvement and describe the risks faced by the auditor in this process.
- 4.5.5.6 Make recommendations on the conformance and acceptability of a management system to the top management of the organization based on objective evidence obtained during the audit.
- 4.5.5.7 Explain how the results of the audit can be used including for certification or supplier approval purposes.
- 4.5.5.8 Describe the processes for the audit team to evaluate proposals for corrective and preventive actions in response to nonconformities recorded during an audit, and understand the process for evaluating the effectiveness of corrective and preventive actions taken.

### **5 COMPETENCE REQUIREMENTS FOR QUALITY MANAGEMENT SYSTEM AUDITORS AND AUDIT TEAM LEADERS**

A learner who successfully completes the course shall be able to:

- 5.1 Understand the concepts and the definition of competence given in various ISO and IEC standards.
- 5.2 Identify the competence requirements for quality management system auditors and audit team leaders involved in 1st, 2nd and 3rd party certification audits. Such competence requirements shall include:
  - 5.2.1 The competence and registration requirements of the SAATCA auditor criteria
  - 5.2.2 The generic competence requirements for third party certification auditors as contained in ISO/IEC 17021-1:2015 and specific competence requirements for quality management system auditors as contained in ISO/IEC 17021-3:2013
  - 5.2.3 The desired personal behaviours of auditors and audit team leaders based on the guidance given in ISO 19011:2018 and annex D of ISO/IEC 17021-1:2015.
  - 5.2.4 Understand the methods used to determine competence together with their usefulness and limitations for evaluating knowledge and skills.

### **6 COURSE CONTENT**

Early in the course presentation the TCP shall provide to the learners a description of the course format, learner responsibilities, how the learners will be evaluated, and the basis for each type of evaluation. The course content shall cover:

- 6.1 All aspects defined under Learning Objectives; and
- 6.2 Local requirements, culture, practice or approaches to auditing and the application of ISO 9001:2015 as appropriate.

### **7 OTHER**

All other requirements - same as generic TCP requirements for Lead Auditor courses

