

RENEWAL SUSPENSION AND WITHDRAWAL OF AUDITOR REGISTRATION PROCESS

SUMMARY: THIS PROCEDURE DESCRIBES CONTROLS FOR THE ANNUAL SURVEILLANCE AND 3 YEARLY RENEWALS, OF AUDITOR REGISTRATION AS WELL AS SUSPENSION AND WITHDRAWAL OF AUDITOR REGISTRATION.

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APPROVAL PAGE



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26 JULY 2021
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AMENDMENT HISTORY

Doc Revision	Approved Date	Amendments	Doc change No.	Conformance	
				Name	Initials
REV 1-8		History			
REV 9	01 July 2014	Minor changes	DC 10130	Happy	H
REV 10 -11	10 July 2017	Minor changes template changed	DC 10158	Happy	H
REV 12	28 July 2018	Minor changes par 4.1.3.	DC 10158	Olga	MO
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1. PURPOSE

This procedure describes the controls for the annual surveillance and 3 yearly renewals, of Auditor registration as well as the suspension and withdrawal of Auditor registration.

2. DOCUMENTS

2.1 Applicable Documents

- QSP 1.4 Appeals procedure
- QSP 1.8 Process for Auditor Certification Applications
- SF106 SAATCA Letter - Notification of suspension/withdrawal
- SF107 SAATCA Letter on Annual Surveillance & Three Year Certification Renewal

2.2 Reference Documents

Scheme criteria (Refer CRT documents)

3. RESPONSIBILITIES

The Certification Manager is responsible for ensuring that this procedure is implemented and maintained.

It is the responsibility of the auditor to ensure that his/her fees are paid on time.

4. PROCEDURE

4.1 Renewal

- 4.1.1 Renewal or re-certification is conducted every three years from initial registration in accordance with QSP 1.8.
- 4.1.2 Auditor Certification will be done according to QSP 1.8 procedure on Three (3) Year Re-Certification, the submissions required and the outcomes.
- 4.1.3 The renewal fees are paid by end February of each year.

4.2 Suspension

- 4.2.1 Suspension means that a registered Auditor will be suspended for one or more of the following reasons and in accordance with the suspension process below:
 - a) Complaints pending investigation.
 - b) Unprofessional behaviour, professional misconduct.
 - c) Unethical behaviour.
 - d) Malpractice.
 - e) Non adherence to the Code of Conduct.
 - f) Non adherence to the Regulations Governing the Use of SAATCA Logo.

- g) Failure to submit the submissions required for the 3 yearly re-certification.
- h) Failure to submit the submissions required for annual surveillance.
- i) Non-payment of registration and associated fees e.g. conference fees.
- j) Fraudulent information.

- 4.2.2. On identification of any of the above nonconformities, (except in the case of failure to submit the submissions for 3 yearly re-certification (g), failure to submit the submissions required for annual surveillance or non-payment of fees (h) or non-payment of registration and associated fees e.g. conference fees, (j), provide fraudulent information e.g. certificates and references, the Certification Manager will complete a list for suspension, withdrawals and re-instate and the list with files will be issued to the evaluator for acceptance or rejection.
- 4.2.3. The Certification Manager will notify the Auditor in writing, e.g. via E-mail of the deviation, requesting a response within 2 weeks of the date of the communication.
- 4.2.4. The Certification Manager will evaluate the Auditor's response on receipt.
- 4.2.5. If the Auditor does not respond within the given time frame or the corrective action is not satisfactory, Certification Manager will suspend the Auditor pending further investigation, The Certification Manager will notify the Auditor in writing of the suspension e.g. via e-Mail. Refer SF106
- 4.2.6. The Certification Manager will forward the incident to the EXCO for evaluation.
- 4.2.7. EXCO will then after proper investigation confirm whether the action is of such a nature that the Auditor registration is withdrawn.
- 4.2.8. The outcome will be recorded on the Incident Report and retained as a record.
- 4.2.9. The result will be communicated to both the complainant and the Auditor in writing. Refer SF106 Notification of Suspension/Withdrawal
- 4.2.10. The Auditor may appeal against the decision in accordance with the Appeals procedure – QSP 1.4.

4.3. Suspension for non-payment of registration and associated fees

- 4.3.1. In the case of non-payment of fees by the due date, a written notification will be forwarded to the Auditor requesting that the fees be paid within 30 days and proof submitted to SAATCA. Failure to pay the overdue fees within 30 days may result in suspension.
- 4.3.2. Failure to submit proof of payment within the 30 days above will result in immediate suspension.
- 4.3.3. The suspension will be communicated to both the complainant and the Auditor in writing. Refer SF106 Notification of Suspension/Withdrawal.
- 4.3.4. Suspension and Withdrawal includes the removal of the member names from the SAATCA website and the update of the database to make the Auditor inactive. The SAATCA Auditors database will be updated as well as the SAATCA website, the auditor must refrain from further promotion of the certification while is suspended.

4.4 Suspension for failure to submit the submission for annual surveillance or 3 yearly re-certification / Payment of re-registration or re-certification / misuse of certification & card.

- 4.4.1. Should the annual re-registration or 3 yearly re-certification documentation not be received within the 18 month period (refer to QSP 1.8), a notification written notification will be forwarded to the Auditor requesting that the documentation be submitted within 30 days to avoid suspension.
- 4.4.2. Should the re-registration documentation not be received within the 30 day period, the Auditor will be suspended immediately and the Auditor's details will be removed from the website with immediate effect.
- 4.4.3. The suspension will be communicated to both the Auditor in writing. Refer SF106 Notification of Suspension/Withdrawal.
- 4.4.4. Suspension and Withdrawal includes the removal of the member names from the SAATCA website and the update of the database to make the Auditor inactive. The SAATCA Auditors database will be updated as well as the SAATCA website.
- 4.4.5. The auditor must refrain from further promotion of the certification while is suspended.
- 4.4.6. Registration can only be re-instated once all documentation as required according to the Scheme Criteria have been submitted and all outstanding and associated payments have been received. Refer to QSP 1.8 for re-instatement.
- 4.4.7. To use the certification in such a manner as to bring SAATCA into disrepute and not to make any statement regarding the certification which SAATCA considers misleading or unauthorized.
- 4.4.8. Not to comply with the relevant provision of the certification scheme.
- 4.4.9. To make claims regarding certification that is not to the scope for which certification has been granted.
- 4.4.10. upon suspension/withdrawal the certificate that was issued by SAATCA during the registration must be return to SAATCA.

4.5 Withdrawal

- 4.5.1. Withdrawal means that certification is permanently made invalid, the certified person (Auditor) refrains from use of all references to a certified status.
- 4.5.2. Withdrawal can be conducted summarily for reasons described under 4.2.1 or initiated after suspension as described under 4.2.1.
- 4.5.3. Should no response be received within 90 days, registration will automatically be withdrawn
- 4.5.4. In either case the Auditor will be informed in writing of the Evaluation Committee's and/or EXCO's decision and reasons, SF106 and will be given the opportunity to appeal in accordance with the Complaints and Appeals Procedure QSP 1.4.
- 4.5.5. The Certification Manager will update the database and website, take appropriate steps to retrieve the Auditor's from the website.
- 4.5.6. In the event of suspension/withdrawal, it is the responsibility of the auditor to return back the card and certificate issued by SAATCA within 30 days, failure in which SAATCA will take legal action.