


# Legal Compliance Management Systems Auditors Criteria

## CRT 6.25 LCMS Auditor

### AUTHORIZATION

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## INTRODUCTION

### 1.1. Purpose

This document describes the Legal Compliance Management System auditor criteria for SAATCA auditor certification.

These criteria are intended to be used by:

- Potential applicants to determine their suitability and readiness for making application for initial certification.
- For maintenance of auditor status.
- For ensuring that all the necessary evidence is submitted.
- For the SAATCA evaluation of such applications.

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

### 1.2. Definitions and Abbreviations

For the purpose of this criteria document, the terms and definitions in ISO 39001:2012, 9001:2015 19011:2018, ISO/IEC 17000, ISO/IEC 17021-1:2015 and ISO/IEC 17024:2012 apply.

#### Abbreviations:

EMS	Environmental Management System
IAF	International Accreditation Forum
IEC	International Electrotechnical Commission
ISO	International Organization for Standardization
LCMS	Legal Compliance Management System
SAATCA	South African Auditor and Training Certification Authority
SANAS	South African National Accreditation System
OHSAS	Occupational Health and Safety Assessment Series
QMS	Quality Management System

### **1.3. Applicable Documents and References**

ISO 19011: Guidelines for auditing management systems

ISO/IEC 17024:2012 Conformity Assessment – General Requirements for Bodies operating Certification of Persons

ISO/IEC 17021-1:2015 Conformity assessment — Conformity assessment - Requirements for bodies providing audit and certification of management systems

IAF Guidance on the Application of ISO/IEC 17024:2012 Conformity assessment – General Requirements for Bodies operating Certification of Persons. (IAF GD 24)

IAF MD 5 Mandatory Document for Duration of QMS and EMS Audits:

Certification Schemes for the Certification of QMS and OHSAS Auditors (BD-05 007)

References related to Auditing Sampling (ISAE3000, GHTF/SG4/N30R20)

Act 85 of 1993 - Occupational Health & Safety Act

Act No. 93 of 1996 - National Road Traffic Act

ISO 9001:2015 - Quality Management System

ISO 14001:2015 - Environmental Management System

ISO 45001:2018 - Occupational Health and Safety Assessment Series

NEMA - National Environmental Management Act

#### ***SAATCA Procedures and Criteria:***

- QSP 1.4, Appeals, complaints and disputes.
- QSP 1.9 Transfer of Certification
- ARP 2 7 Renewal Suspension and Withdrawal of Auditor Registration
- ACR 5.1 Evaluation Committee
- SAATCA Forms/ documents - various, referenced as SF
- SF18 Application for Re-certification
- SF26 SAATCA Audit log
- SF27 SAATCA CPD log
- SF29 Code of Conduct Auditor
- SF45 Auditor performance report
- SF51 Code of Conduct Sponsor
- SF52 Code of Conduct Witnessing Lead Auditor
- SF72 Auditee Feedback Report
- SF70 Application for initial certification

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

#### **1.4. Relevant Standards**

Whilst the SAATCA registration schemes are based on the primary international or national standard, where these exist, it recognises that there are other standards that are equivalent and/or relevant for the purposes of SAATCA management system auditor registration.

For these relevant standards, the LCMS Scheme will develop and publish the list of relevant standards which will be included as the basis of competence for this scheme. These standards will form part of the criteria and may include where applicable:

- ISO/IEC 17021-1:2015
- ISO 45001:2018
- ISO 9001:2015
- ISO 14001:2015
- ISO 19011:2018

#### **1.5. "Start Up" Concession for New Schemes**

A "start-up" concession is granted by SAATCA for new schemes and is only applicable for the purposes of initially capacitating the new scheme because there are currently no registered SAATCA Lead Auditors registered in the new scheme.

Approval is granted by SAATCA with the proviso that a suitable portfolio of evidence is maintained to demonstrate conformance with these Scheme specific criteria. "Start Up" auditors shall comply with all the criteria.

## **1.6. LCMS Auditor Grades and Sectors**

### **1.6.1. Provisional Auditor Grades**

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

This is not a SANAS accredited grade of management system auditor.

Provisional Auditors will be given non- accredited letters of acknowledgement, stating the applicant's applicable scheme of registration and registration number, but will not be formally issued with Certificates and registration cards.

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

**Note:** Provisional Auditors registered in terms of this grade may not suggest or imply certification status as a LCMS auditor.

### **1.6.2. Internal Auditor Grade**

This grade applies to applicants that conduct audits within an organisation by whom they are employed. It is not intended to imply that an Internal Auditor is less qualified than an Auditor, only that the application of the auditing practice is limited to one organization. The same level of qualification and work experience is required as that of the Auditor grade. Internal Auditor certification shall be granted in respect of the specific organisation for which internal audits are conducted.

Internal auditor is not a SANAS accredited grade of management system auditors. Should the auditor resume internal auditing at a different organisation, they would qualify to transfer their internal auditor certification, by making application relative to the new organisation. Alternatively, they could apply for full Auditor grade as they potentially satisfy the requirements of the Auditor Grade. Internal Auditors shall be issued with Certificates and Internal Auditor registration cards against their specific organization for which they have been certified.

**Note:** When a certified Internal Auditor leaves the employment of the specific organisation for which internal auditor certification is held, the certification is then terminated. It is the responsibility of a SAATCA Internal Auditor to notify SAATCA of the change in employer.

### **1.6.3 Auditor Grade**

This grade recognizes that the applicant as a competent Auditor, contributing as an effective member of an audit team. This grade applies typically to auditors who take part in audits as members of a team rather than audit team leaders. Auditors will be issued with Certificates and Auditor registration cards upon certification.

### **1.6.4. Lead Auditor Grade**

The Lead Auditor grade is reserved for auditors who conform to the requirements of Auditor grade and who are competent and experienced at managing and leading audit team/s. This grade applies typically to auditors who lead audit teams of more than one auditor. Lead Auditors will be issued with Certificates and Lead Auditor registration cards upon certification.

### **1.6.5. Advancement to other Grades and Sectors**

Advancement to another auditor grade/sector can be attained at any time provided that suitable competence and experience for that grade is achieved.

Certificated auditors of any grade/sector, who can demonstrate competence and are successfully evaluated against the applicable criteria required for each grade, shall qualify for advancement to such grade/sector. When applying for advancement from one grade/sector to another, applicants are required to complete the application form and submit the applicable evidence relevant to the new grade/sector.

**Note:** Proof of formal training required in the specific sector.

### **1.7. Suspension and Withdrawal of Certification**

All suspensions and withdrawals of certification shall be managed in accordance within the certification process i.e ARP 2.7.

### **1.8. Complaints, Appeals and Disputes Process**

All complaints, appeals and disputes shall be managed in accordance with the certification process i.e QSP 1.4

### **1.9. Criteria for Auditor Transition in the Event of Management System Changes**

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

### **1.10. Transfer of Certification - QSP 1.9**

Transfer of auditor certification from any other auditor certification body shall be processed in accordance with QSP 1.9

### **1.11. Use of the SAATCA Logo - SF 48**

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

### **1.12. Notifiable Changes - SF 56**

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

### **1.13. Publication of Details of SAATCA Registered Auditors**

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



## 2. APPLICATION REQUIREMENTS

### 2.1. Application Documents and Codes of Conduct

Applicants shall complete and submit the SAATCA application documentation, according to the Application Checklist section of the application form, including application form (SF79), with the completed Sponsor's section, personal declaration by completing the auditor code of conduct (SF29) and ensure that a signed Sponsor's Code of Conduct (SF 51) accompanies the application.

As part of the application, applicants shall provide evidence of work experience, audit experience, education and training.

**Sponsors:** These may be either the applicants line manager or (in the case of self-employed applicants) an individual with professional knowledge of the applicant and willing and able to attest to their personal behaviours.

In the event of a verified breach of the SAATCA applicants / witnessing lead Code of Conduct, auditors will be precluded from reapplying for 3 years.

**Admissible Evidence:** Completed Application form and Checklist (Included in the Application form, SF79), including CV details and sponsorship from at least one individual (who has a business relationship) attesting to the applicant's fulfilment of the requirements. A certified copy of identity document) is required. A completed signed Auditor's Code of Conduct (SF 29). A completed signed Sponsor's Code of Conduct (SF 51).

Certified true copies of relevant academic qualifications and any professional registration in the sector of application must be attached.

### 2.2. Personal Behaviours

Applicants shall be able to demonstrate the personal behaviours necessary for the effective and efficient performance of an audit. Desirable personal behaviours for all auditors are: Ethical, Open-minded, Diplomatic, Observant, Perceptive, Versatile, Tenacious, Decisive, Self-reliant, Acting with Fortitude, Open to Improvement, Culturally sensitive, Collaborative, Professional, Organized.

**Admissible Evidence:** A completed signed Sponsor Code of Conduct (SF 51). A completed Sponsor's declaration must be included on application form for certification. (Also refer below under Witnessing).

### 2.3. Education

Applicants must have attained an educational standard that permits the necessary knowledge to perform effectively as an auditor. This includes:

**Option 1: With a tertiary education:**

Tertiary education with a diploma/degree in a Legal discipline.

**Option 2: In the absence of degree or diploma (tertiary education):**

Matric or equivalent and NQF Level 4, Legal training discipline, **plus (in addition)** applicants must have 5 years' related work experience in the Legal compliance.

**Admissible Evidence:**

**Option 1:** Certified true copies of relevant academic qualifications and any related professional registration in the scheme of application

**Option 2:** Certified true copies of Matric or equivalent and copy of the legal certificate with verifiable evidence of the 5 years legal related work experience, which must be verified by the applicant's employer on a signed official company letterhead.

### 2.4. Work Experience

Acceptable work experience would be where the applicant has acquired significant experience in at least one of the following:

- Full time role as manager, supervisor, in compliance with legal and other requirements.
- Implementation and maintenance of a legal requirements.
- Monitoring compliance with applicable legal and other requirements. in the scope of application on behalf of a regulating body.
- Full time role relating to the performance of the legal compliances applicable to the application and management of audits.

**Note 1:** Periods of training will not be considered as eligible toward meeting this criterion on work experience.

**Note 2:** Any break in work experience shall not be longer than 10 years prior to application, and supported by evidence of continuing professional development is provided.

**Option 1: Where applicants have a degree/ diploma:**

Applicants for all grades must have completed a minimum of four years of relevant work experience in a role that is in legal compliance and technical related, professional or managerial position involving the exercise of judgement, problem solving and communication with other managerial personnel, peers, customers, interested and affected parties and/or authorities.

**Management System Experience:** The applicants shall have at least 2 years relevant legal compliance Management System experience, eg: implementation, operation and auditing experience gained within the field of ISO 37301:2021. This may be concurrent with the relevant work experience.

**Option 2: Where applicants do not have a degree/ diploma:**

Applicants for all grades must have completed a minimum of **5** years of relevant work experience in a role that is in a legal compliance, professional or managerial position involving the exercise of judgement, problem solving and communication with other managerial personnel, peers, customers, interested and affected parties and/or authorities.

**Management System Experience:** The applicants shall have at least 2 years relevant legal compliance Management System experience, eg: implementation, operation or auditing experience gained within the the field for which certification is sought. This may be concurrent with the relevant work experience.

**Admissible Evidence:**

Verifiable evidence of relevant work experience is required. Record of employment, eg CV verified by a line manager, through signature of SF51, attesting to technical, professional or managerial experience as well the applicant's involvement in the exercise of judgement, problem solving and communication with other managerial personnel, peers, customers, interested and affected parties and/or authorities. Please submit an updated CV and signed sponsor code of conduct SF51 (attestation). SAATCA may request additional proof or conduct telephonic interviews as part of the verification process.

**2.5. Knowledge and Skills**

Confidence in the audit process and the ability to achieve its objectives depends on the competence of those individuals who are involved in planning and conducting audits, including auditors and audit team leaders. Some of the knowledge and skills are common to auditors of any management system discipline; others are specific to individual management system disciplines.

### **2.5.1. Generic Knowledge and Skills – All Auditor Grades**

All auditor grades should possess generic knowledge and skills and should also be expected to possess additional discipline and sector-specific knowledge and skills.

Auditors should have knowledge and skills in the areas outlined below:

- Audit principles, procedures and methods
- Management system and reference documents
- Organizational context
- Applicable legal and contractual requirements and other requirements that apply to the auditee
- Risk management principles, methods

### **2.5.2. Discipline and Sector Specific Knowledge and Skills – All auditor grades**

Auditors should have the discipline and sector-specific knowledge and skills that are appropriate for auditing the particular type of management system and sector. The discipline and sector-specific knowledge and skills of auditors include the following:

- discipline-specific management system requirements and principles, and their application;
- legal requirements relevant to the discipline and sector, such that the auditor is aware of the requirements specific to the jurisdiction and the auditee's obligations, activities and products;
- requirements of interested parties relevant to the specific discipline;
- fundamentals of the discipline and the application of business and technical discipline-specific methods, techniques, processes and practices, sufficient to enable the auditor to examine the management system and generate appropriate audit findings and conclusions;
- discipline-specific knowledge related to the particular sector, nature of operations or workplace being audited, sufficient for the auditor to evaluate the auditee's activities, processes, and products (goods and services);
- risk management principles, methods and techniques relevant to the discipline and sector, such that the auditor can evaluate and control the risks associated with the audit programme.

### **2.5.3. Scheme Specific Knowledge and Skills – All auditor grades**

The ISO and SANS relevant Standards Requirements defines the management system as a framework of processes and procedures used by an organization to better control and where possible, to mitigate its risks, to monitor and improve its overall performance and to add value to clients.

The knowledge and skills required to ascertain whether the intent of the relevant standards and other requirements have been established, implemented and conforms to the standard will include the following:

- Legal Compliance hazards, impacts and risks
- Regulatory frameworks and guidance from regulatory bodies wrt Legal Compliance
- Legal and other requirements governing or affecting the organization's (industrial, business or governmental) sector.
- Industry, trade and other "best practices"

Auditors need to thoroughly evaluate an organisations Management System in order to generate the appropriate audit findings and conclusions. Appropriate auditing methods and techniques must be acquired to enable the auditor to evaluate performance against ISO/SANS Standards. Knowledge and skills include:

- ISO 37301:2021 terminology.
- ISO 37301:2021 management system principles and their application.
- The ISO 37301:2021 standard requirements.
- Knowledge of impact of human activities on the environment
- Knowledge of the interaction of ecosystems
- Knowledge of general methods of compliance, Safety and protection
- Knowledge of Safety aspects and impacts
- Skills required to use methods for identifying and evaluating the significance of compliance aspects impacts
- Knowledge of technologies for prevention of pollution impacts
- Hazard identification, including those and other factors affecting human performance in the workplace
- Risk assessment, determining controls, and risk communication
- The evaluation of health and human factors (including physiological and psychological factors) and the principles for assessing them;
- method for exposure monitoring and assessment of occupational health and safety risks (including those arising out of the human factors mentioned above or relating to occupational hygiene) and related strategies for eliminating or minimizing such exposures;
- the evaluation of the different types and levels of occupational health and safety competence required across an organization and the assessment of that competence;
- behaviour of flammable substances
- methods to encourage employee participation and involvement;
- methods to encourage employee wellness or well-being and self-responsibility (in relation to smoking, drugs, alcohol, weight-related issues, exercise, stress, aggressive behaviour, etc.), both during working hours and in their private lives;
- the development, use and evaluation of proactive and reactive performance measures and metrics;
- the principles and practices for identifying potential emergency situations and for emergency planning, prevention, response and recovery;

- methods for incident (including accident and work-related illnesses) investigation and evaluation;
- the determination and use of health-related information (including work-related exposure and illness monitoring data) – but giving special consideration to the confidentiality over particular aspects of such information;
- understanding of medical information (including medical terminology sufficient to understand data related to the prevention of injury and ill-health);
- systems of “occupational exposure limit” values;
- methods for monitoring and reporting on safety understanding legal and other requirements relevant to compliance management system

### **ISO 19011: 2018 Guidelines for auditing management systems**

Knowledge and skills related to transportation safety management and the application of transportation safety management methods, techniques, processes and practices should be sufficient to enable the auditor to examine the management system and generate appropriate audit findings and conclusions includes the following components:

- safety management terminology;
- understanding safe system approach;
- risk assessment and mitigation;
- analysis of human factors related to transportation safety management;
- human behaviour and interaction;
- interaction of humans, machines, processes and the work environment;
- potential hazards and other workplace factors affecting safety;
- methods and practices for incident investigations and monitoring safety performance;
- evaluation of operational incidents and accidents;
- developing proactive and reactive performance measures and metrics.

Knowledge and skills applicable to auditing the occupational health and safety system component includes:

- hazard identification,
- risk assessment, determining controls, and risk communication
- the evaluation of health and human factors
- method for exposure monitoring and assessment of occupational health and safety risks and related strategies for eliminating or minimizing such exposures;
- human behavior, person-to-person interactions and the interaction of humans to machines, processes and the work
- the evaluation of the different types and levels of occupational health and safety competence required across an organization and the assessment of that competence;
- methods to encourage employee participation and involvement;



- methods to encourage employee wellness or well-being and self-responsibility both during working hours and in their private lives;
- the development, use and evaluation of proactive and reactive performance measures and metrics;
- the principles and practices for identifying potential emergency situations and for emergency planning, prevention, response and recovery;
- methods for incident investigation and evaluation;
- the determination and use of health-related information – but giving special consideration to the confidentiality over particular aspects of such information;
- understanding of medical information
- systems of “occupational exposure limit” values;
- methods for monitoring and reporting on occupational health and safety performance;

Knowledge and skills applicable to auditing the environmental management system component includes:

- environmental terminology;
- environmental metrics and statistics;
- measurement science and monitoring techniques;
- interaction of ecosystems and biodiversity;
- environmental media (e.g. air, water, land, fauna, flora);
- techniques for determining risk (e.g. environmental aspects/impacts evaluation, including methods for evaluating significance);
- life cycle assessment;
- environmental performance evaluation;
- pollution prevention and control (e.g. best available techniques for pollution control or energy efficiency);
- source reduction, waste minimization, reuse, recycling and treatment practices and processes;
- use of hazardous substances;
- environmental reporting and disclosure;
- product stewardship;

Knowledge and skills applicable to auditing the quality management system component includes:

- terminology relating to quality, management, organization, process and product, characteristics, conformity,
- documentation, audit and measurement processes;
- customer focus, customer-related processes, monitoring and measuring of customer satisfaction,
- complaints handling, code of conduct, dispute resolution;
- leadership – role of top management, managing for the sustained success of an organization – the quality

- management approach, realizing financial and economic benefits through management of quality, quality
- management systems and excellence models;
- involvement of people, human factors, competence, training and awareness;
- process approach, process analysis, capability and control techniques, risk treatment methods;

### **Admissible Evidence:**

Applicants shall objectively demonstrate their knowledge and skills with regard to LCMS. Knowledge may be acquired by means of education, training, successful completion of applicable course work, or by means of demonstrated case work.

Applicants shall submit a compiled portfolio of evidence (CV) which includes:

- education
- case work,
- courses attended,
- peer review reports
- Witness reports (refer below – witnessing)

Applicants shall objectively demonstrate their ability to distil legal requirements that apply to specific Legal Compliance aspects.

This knowledge of statutory and regulatory requirements may be demonstrated by means of education and/or training courses.

A completed Witnessing Lead Auditor's Report – Lead auditor (SF 45) must be completed. Also refer "Witnessing" below. The applicant shall objectively demonstrate their knowledge of the requirements.

SAATCA may also examine this knowledge by means of an examination, or interview or otherwise.

## **2.6. Training**

Confidence in the audit process and the ability to achieve its objectives depends on the competence of those individuals who are involved in planning and conducting audits, including auditors and audit team leaders. Competence is further gained through training.

### **2.6.1. Implementation Training: ISO 37301:2021 (LCMS)**

Auditors need to thoroughly evaluate an organisation's Management System in order to generate the appropriate audit findings and conclusions. Knowledge and skills in this area enable the auditor to comprehend the audit scope and apply audit criteria, and should cover the following:

- management system standards or other documents used as audit criteria;



- the application of management system standards by the auditee and other organizations, as appropriate;
- interaction between the components of the management system;
- recognizing the hierarchy of reference documents;
- application of the reference documents to different audit situations.

**Admissible Evidence:**

Certified copy of a 5-day ISO 37301:2021 Understanding & Implementation Training Course certificate.

**Note:** The above 5 days Understanding & Implementation training must be completed prior to the applicant's acquiring of 2 years relevant Management System implementation work experience.

**2.6.2. Legal Compliance Requirements Training**

Applicable legal and contractual requirements apply to the auditee. The knowledge and skills in this area enable the auditor to be aware of, and work within, the organization's legal and contractual requirements. Knowledge and skills specific to the jurisdiction or to the auditee's activities and products should cover the following:

- laws and regulations and their governing agencies;
- basic legal terminology;
- contracting and liability.

**Admissible Evidence:**

Certified copy of a 3 day Legal or related Course certificate.

**Note:** The 3-day other Legal training must be completed prior to the applicant's acquiring of 2 years relevant Legal Compliance Management System implementation work experience.

**Risk Management Training**

Certified copy of a 3-day risk management Course certificate.

**Note:** The 3-day risk management training must be completed to the applicant's acquiring of 2 years relevant Legal Compliance Management System implementation work experience

**2.6.3. Auditor Training**

Auditors must possess additional knowledge and skills in leadership to facilitate the efficient and effective leading of the audit, as per ISO 19011:2018 and ISO/IEC 17021-1:2015:

- Ability to audit an organisations Legal Compliance Management System against the standard.
- Ability to identify and raise non conformances.
- Ability to make relevant recommendations.
- Ability to balance the strengths and weaknesses of the audit team members
- Ability to develop a harmonious working relationship among the audit team members
- Ability to manage the audit process, including:
  - o planning the audit and making effective use of resources during the audit
  - o managing the uncertainty of achieving audit objectives
  - o protecting the health and safety of the audit team members during the audit, including ensuring compliance of the auditors with the relevant health, safety and security requirements
  - o organizing and directing the audit team members
  - o providing direction and guidance to auditors-in-training;
  - o preventing and resolving conflicts, as necessary
- Ability to represent the audit team in communications with the person managing the audit programme, audit client and auditee
- Ability to lead the audit team to reach the audit conclusions
- Ability to prepare and complete the audit report
- Ability to conduct opening and closing meetings.

**Admissible Evidence:**

Certified copy of certificate for a 5 Day Management System Lead Auditor Course based on ISO 19011:2018 and ISO/IEC 17021-1:2015.

**Note:** The above Management System lead auditor/auditor training must be completed prior to the applicant performing audits on the Legal Compliance.

**2.7. Auditing Experience**

The applicant must demonstrate their auditing experience for the following grades:

- Provisional Auditor
- Internal Auditor
- Auditor
- Lead auditor

**2.7.1. Requirements for Auditing Experience – All Grades**

Complete and qualifying management system audits are audits that cover the entire audit process as described in ISO 19011:2018 and ISO/IEC 17021-1:2015 and must include all aspects. The following must be adhered to:

- Audit Day: A minimum of six hours of audit activity on site (typically part of an 8 hour audit day, as per IAF audit day allocations).
- Audits must be conducted at business units that have their own management structure and carry out the management functions associated with the organization's activities and facilities.
- Auditing on site must include the opening and closing meetings and the conformance auditing phase, but excludes planning, document review and preparation of the audit report even when these functions are performed at the premises of the auditee.
- The audits must have been completed in the 3-year period prior to application.
- Audits of the same site must not be repeated within 12 months.
- Audits must not include close out /follow up visits and gap audits.
- Participation in training audits that form part of a training programme are not admissible.

**Note 1:** Audits performed prior to successful completion of the minimum 5 day ISO37301:2021 Compliance Management System implementation course, the 5 day Other Legal course, 3 days Risk management training and the 5 day Lead Auditor/Auditor course based on ISO19011:2018 and ISO 17021-1:2015.

**Note 2:** Details and description of each audit must be entered onto the SAATCA audit log sheet (SF26). All relevant information must be filled in to enable sufficient evidence for verification of the audit by SAATCA.

**Admissible Evidence:**

- Audit Log sheets: Completed in full and on the approved SAATCA audit log sheets (SF 26).
- All audit log sheets must be signed off by the applicant as well as by the SAATCA registered guiding Lead Auditor as confirmation of the correctness of the audits.
- A minimum of one audit log sheet must be signed off by a witnessing SAATCA Lead Auditor who is a different person from the guiding lead auditor as confirmation of the correctness of the audits.
- Auditee feedback: Completed, positive Auditee Feedback report for scheme of registration regarding the performance of the applicant for at least one audit. (Refer SF 72).
- Witnessed audit(s) - refer below

**Note:** SAATCA may also verify the information provided by the applicant.

### **2.7.2. Auditing Experience for Provisional Auditor Grade**

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

#### **Admissible Evidence:**

No auditing experience is required as evidence

### **2.7.3. Auditing Experience for Internal Auditor Grade**

Applicants must have participated in at least 3 complete internal audits for at least 5 days (30 hours) on site and must have completed all elements of the audit cycle, including: audit planning, documents review, auditing, interviewing, audit reporting. It must not have involved areas or activities of direct responsibility of the applicant.

At least one witnessed audit (see below) of the applicant.

#### **Admissible Evidence:**

- Audit Log sheets: Completed in full and on the approved SAATCA audit log sheets (SF 26) for 3 complete audits at least 5 days (30 hours) on site.
- All audit log sheets must be signed off by the applicant as well as by the SAATCA registered guiding Lead Auditor in the scheme of application as confirmation of the correctness of the audits.
- A minimum of one audit log sheet must be signed off by a witnessing SAATCA Lead Auditor in the scheme of application who is a different person from the guiding lead auditor as confirmation of the correctness of the audits.
  
- Auditee feedback: Completed, positive Auditee Feedback report for scheme of registration regarding the performance of the applicant for at least one audit. (Refer SF 72).
- Witnessed audit(s) - refer below

**Note:** SAATCA may also verify the information provided by the applicant.

### **2.7.4. Auditing Experience for Auditor Grade**

Applicants are required to have participated in at least 4 complete, successful audits for a total of at least 20 days / 120 hours on site, acquired under the direction and guidance of a

Lead Auditor from the same scheme. The Lead Auditor shall sign the SAATCA log for each audit submitted to attest to such direction and guidance.

Details and description of each audit shall be entered onto the SAATCA audit log sheet. Details must include identification of the auditee; sufficient to allow verification of the audit by SAATCA.

At least one witnessed audit (see below) of the applicant.

**Admissible Evidence:**

- Audit Log sheets: Completed in full and on the approved SAATCA audit log sheets (SF 26) for at least 20 days (120 hours) on site.
- All audit log sheets must be signed off by the applicant as well as by the SAATCA registered guiding Lead Auditor as confirmation of the correctness of the audits.
- A minimum of one audit log sheet must be signed off by a witnessing SAATCA Lead Auditor in the scheme of application who is a different person from the guiding lead auditor as confirmation of the correctness of the audits.
- Auditee feedback: Completed, positive Auditee Feedback report for scheme of registration regarding the performance of the applicant for at least one audit. (Refer SF 72).
- Witnessed audit(s) - refer below

**Note:** SAATCA may also verify the information provided by the applicant.

**2.7.5. Auditing Experience for Lead Auditor Grade**

In addition to satisfying all the auditing experience requirements for Auditor grade, applicants for Lead Auditor shall have participated as a leader of a LCMS audit team which included at least one other auditor, for a further minimum of 3 complete LCMS audits with a total not less than 15 days and 5 off-site for planning and reporting.

This audit experience additional to that required for Auditor grade must have been gained in the 3-year period prior to application.

The above audits shall have been with an audit team size of at least two (including the applicant) on-site where the applicant acted as the team leader and must have been involved the applicant in making a judgement on whether the organisation:

- is achieving the policy objectives as stated in the management system.
- adheres to its own policies.
- achieves LCMS performance improvements.
- adheres to its own arrangements.
- conforms to the objectives and requirements of the required standards.

The overall required auditing experience in reaching the Lead Auditor grade shall be gained at a minimum of 3 different operating facilities or business units.

At least one witnessed audit (see below) of the applicant acting as Lead Auditor in the capacity of Team Leader.

**Admissible Evidence:**

- Audit Log sheets: Completed in full and on the approved SAATCA audit log sheets (SF 26) as a leader of an audit team which included at least one other auditor, for a minimum of 3 complete audits of LCMS with a total not less than 15 days, of which at least 10 are on site and 5 off-site for planning and reporting.
- All audit log sheets must be signed off by the applicant as well as by the SAATCA registered guiding Lead Auditor in the scheme of application as confirmation of the correctness of the audits.
- A minimum of one audit log sheet must be signed off by a witnessing SAATCA registered Lead Auditor in the scheme of application who is a different person from the guiding lead auditor as confirmation of the correctness of the audits.
- Auditee feedback: Completed, positive Auditee Feedback report for scheme of registration regarding the performance of the applicant for at least one audit. (Refer SF 72).
- Witnessed audit(s) - refer below

**Note:** SAATCA may also verify the information provided by the applicant.

**2.8. Guiding by Lead Auditors**

The guiding Lead Auditor shall be a SAATCA registered Auditor in the scheme of application. The guiding lead auditor shall ensure that all audits cover the entire LCMS and all phases of the audit process. (As defined in ISO 19011:2018 and ISO/IEC 17021-1:2015). Applicants are required to objectively demonstrate their knowledge and skills when conducting the LCMS audits.

Guiding shall be carried out to verify all applicable auditing requirements as described in ISO 19011:2018 and ISO/IEC 17021-1:2015 during the course of the audits, which includes all the requirements of the required standards as well as the applicable legal requirements.

The role of the guiding lead auditor is to determine the applicants:

- Competence in auditing against each relevant requirement of the required standards.
- Competence in performing the entire audit process, as applicable, according to ISO 19011:2018 and ISO/IEC 17021-1:2015.
- Possession of the personal behaviours identified in ISO 19011:2018 and ISO/IEC 17021-1:2015 and LCMS specific behaviors.
- Quality of audit reports.
- Competence in raising non conformances.
- Competence in conducting opening and closing meetings.



The Guiding Lead Auditor shall complete a SAATCA Auditing Performance Report attesting to the satisfactory performance and competence of the applicant.

Guiding may involve more than one SAATCA registered Lead Auditor in LCMS.

**Admissible Evidence:**

- Completed Guiding Lead Auditor's Report – Lead auditor (SF 45).
- Guiding must be carried out by a SAATCA Lead Auditor in LCMS.
- Signed Guiding Lead Auditor's Code of Conduct (SF 52).

**Note:** The Guiding Lead Auditor(s) must commit to the SAATCA Code of Conduct for guiding by completing the Guiding Lead Auditor Code of Conduct (SF52) which was submitted by the applicant.

## **2.9. Witnessing by Lead Auditors**

The witnessed audit(s) shall cover the entire management system and all phases of the audit process. (As defined in ISO 19011:2018 and ISO/IEC 17021-1:2015). Applicants are required to objectively demonstrate their knowledge and skills when conducting LCMS audits.

Witnessing shall be carried out to verify all applicable auditing requirements as described in ISO 19011:2018 and ISO/IEC 17021-1:2015 during the course of at least one complete audit, which includes all the requirements of the relevant standards.

The duration of the witnessed audit and verification shall be sufficient to enable the witnessing auditor to determine:

- Competence in auditing against each relevant requirement of the applicable management system standard.
- Competence in performing the entire audit process, as applicable, according to ISO 19011:2018 and ISO/IEC 17021-1:2015.
- Possession of the personal behaviors identified in ISO 19011 and ISO/IEC 17021 and LCMS specific behaviors.
- LCMS audit reports.
- Competence in raising non conformances.
- Competence in conducting opening and closing meetings.

The Witnessing Lead Auditor shall complete a SAATCA Witnessing Auditing Performance Report (SF45b) attesting to the satisfactory performance and competence of the applicant.

Witnessing may involve more than one audit and more than one Witnessing Lead Auditor.

**Admissible Evidence:**

- Completed Witnessing Lead Auditor's Report – Lead auditor (SF 45)
- Witnessing must be carried out by a SAATCA Lead Auditor in LCMS.
- Signed Witnessing Lead Auditor's Code of Conduct (SF 52).

**Note:** The Witnessing Lead Auditor(s) must commit to the SAATCA Code of Conduct for witnessing by completing the Witnessing Lead Auditor Code of Conduct (SF52) which was submitted by the applicant.

The Witnessing Lead Auditor shall have had no involvement in the development of the candidate (e.g. education, training, development, mentoring) for a period of two years.

The Witnessing Lead Auditor performance report must be completed by a SAATCA registered Lead Auditor who is different person from the Guiding/Mentoring Lead Auditor that signs SF26

- CM to follow up with client that witnessing did takes place.
- CM to verify impartiality with auditee and auditor in training witnessed.
- Attendance register must be signed at day of witnessing by the witness lead auditor.

**3.10 Upgrade to another grade/Auditing additional grade**

a) Internal auditor: Minimum of 4 days audit logs (SF26), 3 separate audit logs (SF26) from different organizations, 1 Audit Performance Report (witnessing SF45) and 3 audit feedback reports (SF72) from the audited organizations.

b) Auditor: Minimum of 20 days audit logs (SF26), 4 separate audit logs (SF26) from different organizations, 1 Audit Performance Report (Witnessing - SF45) and 4 feedback reports (SF72) from the audited organizations

c) Lead Auditor: Minimum of 15 days audit logs, (SF26), 4 separate audit logs (SF26) from different organizations, 1 Audit Performance Report \*(Witnessing - SF45) and 4 feedback reports (SF72) from the audited organizations

**Admissible Evidence:**

**a) Audit Log sheets (SF 26):** Completed in full and confirmed SAATCA audit log sheets from the auditee to support the Audit Performance Report (SF45)

Sign-off of fully completed audit log sheets as confirmation by the applicant of the authenticity of the logs and attached audit attendance register.

**b) Auditee feedback (SF 72):** Completed, positive Auditee Feedback report per scheme of registration regarding the performance of the applicant for at least four audits.



c) Complete Witnessing Lead Auditor's report for Lead Auditors (SF45)

### **3. Continual Professional Development (CPD)**

It is vital that each SAATCA certified auditor undertakes the appropriate CPD continuously to be aware of the ever-changing engineering environment and particularly legal and other requirements.

CPD may be undertaken in areas including:

- The fields listed under Education.
- LCMS sectors auditing practices or techniques
- LCMS sectors related tools or techniques
- Risk assessment
- Legal requirement

Evidence of that professional development must be properly verified and documented.

#### **Admissible Evidence:**

- At least 15 hours of CPD per year
- 45 hours of appropriate CPD during each 3-year period immediately prior to renewal of certification.
- At least 8 hours of CPD per three years shall be obtained from SAATCA Workshops.
- CPD Logs may be submitted annually with registration fees.(SF 27)

**Note:** In the selection of appropriate professional development, auditors shall consider their personal strengths and weaknesses and identify areas for personal improvement.

### **4. MAINTAINING CERTIFICATION**

Due to the ISO /IEC 17024:2012 certification process auditors need to maintain their certification in the relevant auditor grade.

#### **4.1 Card Re-issue and Maintenance**

An annual registration application form (SF103) must be completed when personal details change which requires an update. Such changes must be submitted to the SAATCA office in order to complete the relevant update. The details from this form are captured onto the SAATCA database.

## **4.2 Annual Surveillance**

As part of the annual surveillance, all certified auditors must submit annually:

- 2 fully completed SAATCA audit logs (SF26)
- A total of 15 hours for CPD on the SAATCA CPD logs (SF27) signed off with evidence of professional development attached for proper verification.

## **4.3. Annual Registration Fee**

An annual registration fee (subscription) is payable to SAATCA as per the prevailing SAATCA Personnel Registration Fees (SF63).

The SAATCA Board of Directors determines registration fees on an annual basis, and these are published on the SAATCA web site. Auditors who fail to meet the annual fee requirements may be subject to suspension or withdrawal of registration, as per ARP 2.7.

## **4.4. 3 Yearly Re-Certification**

All certified auditors must renew certification every 3 years. Applicants for re-certification shall complete and submit the applicable application form (SF18), a signed Auditor's Code of Conduct (SF29) and an updated CV.

Each applicant for re-certification shall maintain an audit log (SAATCA prescribed format SF26) on which shall be recorded the details of each audit undertaken.

Note: Audit Logs shall be evaluated 3-yearly by the Evaluation Committee.

### **4.4.1. Re-certification Auditor Experience for Internal Auditor Grade**

At least one complete audit (minimum of 6 hours each) per year, with a minimum of three audits over the re-certification cycle. These audits shall be conducted in accordance with ISO 19011 and ISO/IEC 17021, in the scheme relevant to certification.

### **4.4.2. Re-certification Auditor Experience for Auditor Grade**

At least two complete audits (minimum of 6 hours each) per year, with a minimum of 6 audit days in total over the re-certification cycle. These audits shall be conducted in accordance with ISO 19011 and ISO/IEC 17021, in the scheme relevant to certification.

### **4.4.3. Re-certification Auditor Experience for Lead Auditor Grade**

At least two complete audits (minimum of 6 hours each) per year, with a minimum of 6 audit days in total over the re-certification cycle. These audits shall be conducted in accordance with ISO 19011 and ISO/IEC 17021, in the scheme relevant to certification.

At least one complete audit per year (of the 2 required above), acting in the capacity of Lead Auditor.



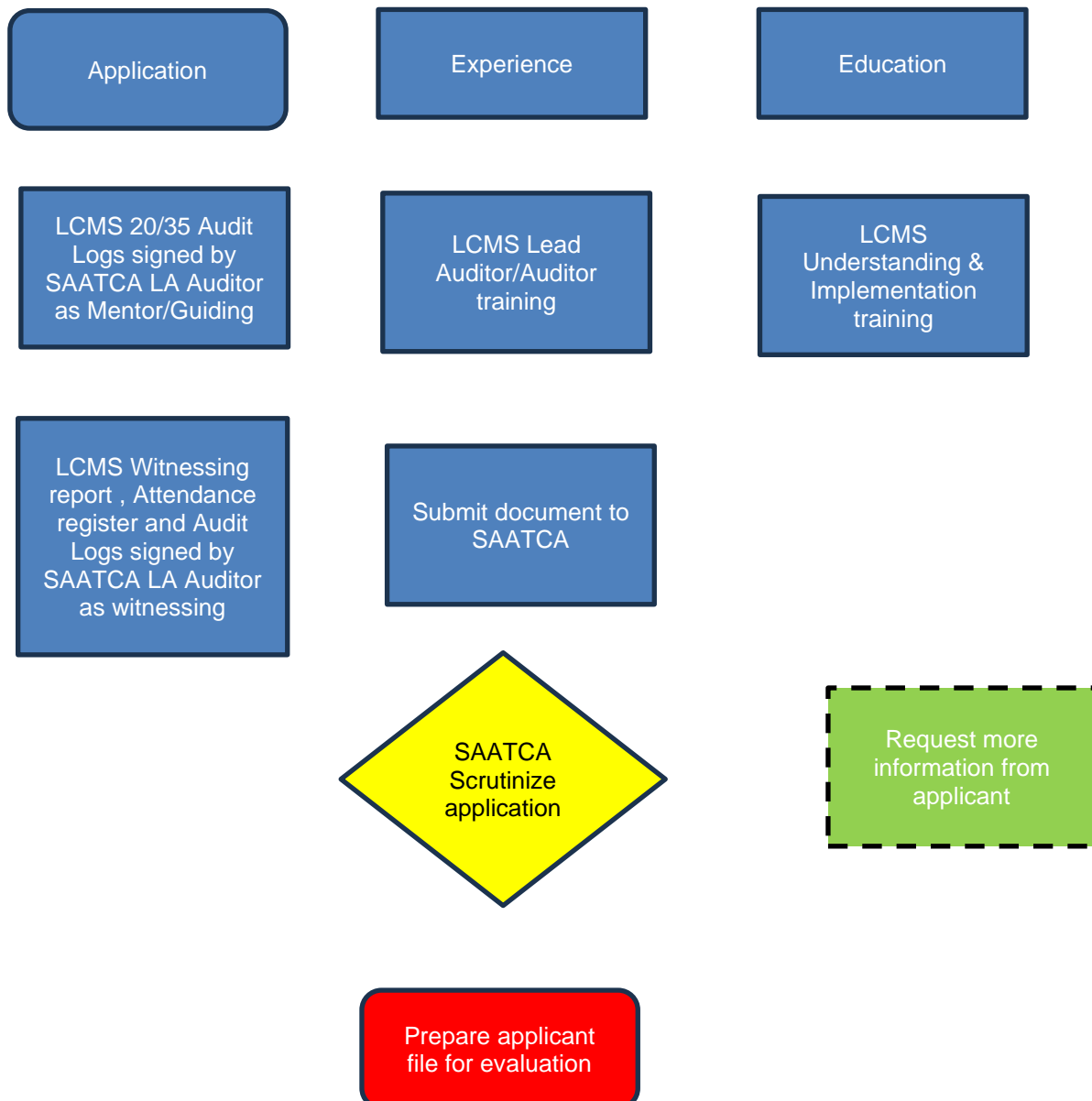
#### 4.4.4. Recertification Auditor Experience for Provisional Auditor Grade

No specific minimum requirement, but logs of completed audits to be provided annually, with the aim of completing sufficient audits over three years to enable upgrade to auditor. After 3 years, the status of Provisional Auditor will be reviewed.

#### 4.4.5. Auditee Feedback for Re-certification

For at least one of the LCMS audits, over the 3-year cycle, an auditee feedback report (SF72) shall be submitted and for Lead Auditors, this feedback report shall be where the re-certifying lead auditor applicant acts as the leader of an audit team or as a sole auditor.

### 5. AUDITOR PROCESS FLOW CHART



## 6. DOCUMENTATION REQUIREMENTS

Standard Documents	New Application	Re-certification	Upgrade
Application form	SF79/SF68	SF18/19	SF73
ID	√		
Updated CV	√	√	√
Sec/tertiary education	√		
Self-Declaration (SF 148)	√		
Code of conduct Auditor (SF 29)	√	√	√
Code of conduct Sponsor (SF51)	√		
Code of conduct Witnessing/Guiding (SF 52)	√		√
Audit log (SF26)	√	√	√
CPD log (SF27)		√	√
Implementation Training	√		
Legal Training	√		
Internal Auditor Training	√		
Lead Auditor Training	√		√
Performance report SF45a/b/c	√		√
Auditee Feedback report (SF 72)	√	√	√

## 7. APPLICATION REQUIREMENTS

<b>Application Requirements</b>	
<b>Education</b>	
Education- Option 1	Diploma/ Degree in Legal or related.
Education- Option 2	Matric or equivalent to NQF Level 4, legal or related.
<b>Experience</b>	
<b>Requirements</b>	<b>Evidence</b>
Experience- Option 1	Minimum of 4 years of relevant work experience
Experience- Option 2	Minimum of 5 years of relevant work experience
LCMS Experience	The applicants must have at least 2 years LCMS implementation experience.
LCMS Training	Certificate of a 5 day Implementation Course Certificate of a 5 day Legal Course Certificate of a 3 days Risk Management Certificate of a 5 day Auditor Course
<b>Audit Hours</b>	
<b>Requirements</b>	<b>Evidence</b>
Provisional Auditor	No auditing experience is required as evidence
Internal Auditor	Five complete internal audits for at least 5 days (30 hours) on site
Auditor	Complete, successful minimum of 4 complete audits for a total of at least 20 days / 120 hours on site.
Lead auditor	3 complete, successful audits for a total of at least 15 days / 100 hours on site
<b>Competency</b>	
<b>Requirements</b>	<b>Evidence</b>
Guiding	Signed out by a SAATCA Lead auditor in good standing.

**8. REVISION HISTORY**

Doc Revision	Approved Date	Amendments	Doc change No.	Conformance
				Name
REV A	-	DRAFT	none	