

SQAS-AFRICA

(Safety and Quality Assessment for Sustainability-AFRICA)

Accreditation Manual for Auditors

July 2018



SQAS-AFRICA Accreditation Manual for Auditors

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1. Introduction

This manual describes the pre-qualification requirements, the training, the accreditation process, the performance monitoring approach and the conditions to maintain the accreditation for Safety and Quality Assessment for Sustainability-AFRICA (SQAS-AFRICA) Auditors.

Only a high and consistent quality of SQAS-AFRICA Auditors will ensure that all parties involved recognise the system as reliable and trustworthy, and that the results of the audits will drive continual improvement within the chemical and allied industries sector.

2. Definitions

2.1 Audit Day

The duration of an audit day is normally eight hours and may or may not include a lunch break depending upon local legislation.

Audits shall be carried out at business units that have their own management structure and carry out the management functions associated with the organisation's products, services, activities and facilities.

2.2 Audit Time

This is time needed to plan and accomplish a complete and effective audit of the company's SQAS-AFRICA Management System. It is the total time spent at a client's site carrying out planning, documentation review, interacting with client personnel and report writing. Travel (en-route or between sites) and any breaks are not included in the on-site duration of management system audits.

Note: As mentioned in section 2.1, there may be a local legal requirement to include lunch breaks. Lunch breaks are included in South Africa.

2.3 Continuing Professional Development (CPD)

CPD is a framework that encourages continual updating of professional knowledge, personal skills and competencies.

3. SQAS-AFRICA Modules

- Transport Service
- Tanker Cleaning

- Warehousing

4. Accreditation

4.1. General

Firstly, accreditation as an SQAS-AFRICA Auditor is obtained on the basis of the pre-qualification requirements, training, a written examination, an interview and witnessed audits. However, to be entitled to perform audits, SQAS-AFRICA Auditors shall also obtain requirements for each of the SQAS-AFRICA categories of interest by meeting the additional specific category training.

4.2. Objectives

The objectives of the SQAS-AFRICA accreditation are:

- To ensure that SQAS-AFRICA Auditors are of a high quality.
- To ensure uniform interpretation of the audit questionnaires and associated guidelines by all SQAS-AFRICA Auditors, independent of their background and/or country of origin.
- To provide an understanding and insight into the activities, organisational structures and infrastructure of chemical companies, Logistics Service Providers (LSPs) and chemical distributors.
- To create a common standard of auditing amongst SQAS-AFRICA Auditors, relating to the safety, health, environment, security, quality and corporate social responsibility (CSR) aspects of the chemical companies, LSPs and chemical distributors.

4.3. Pre-qualification Requirements

Applicants for accreditation as an SQAS-AFRICA Auditor will need to meet the following requirements:

4.3.1. Education

Applicants shall have attained an educational standard that permits the necessary knowledge to perform effectively as an SQAS-AFRICA Auditor. This includes:

- **Option One:** - With a tertiary education

Matric or equivalent to NQF Level 4 (secondary education) and Tertiary education (e.g. degree or diploma).

- **Option Two:** - In the absence of tertiary education Matric or equivalent to NQF Level 4 plus 4 years' work experience in a relevant field. Relevant fields applicable include but are not limited to the following:
 - ❖ Relevant artisanship
 - ❖ OHS law
 - ❖ Occupational hygiene
 - ❖ Security
 - ❖ Safety
 - ❖ Medical/healthcare
 - ❖ Engineering
 - ❖ Environmental science
 - ❖ Road transportation
 - ❖ Legal requirements relevant to specific Accreditation Categories

Applicants shall have successfully attended an ISO Management System Lead Auditor training course with a recognised training provider.

4.3.2. Work Experience

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

Four years' experience in a related field.
- **Option 2:** Without tertiary education

Four years' experience in the fields referred to in option 2 under section 4.3.1. In addition, applicants shall have a further five years' related work experience.

4.3.3. Management System Working Experience

The applicants shall have at least two years relevant Management System working experience.

These qualifications and experience shall be documented by the applicant in the SQAS-AFRICA Application Form and supported by copies of certificates, where applicable.

NB: *If an applicant has any doubt about a possible conflict of interest, he/she is required to contact CAIA before registering for the initial training.*

4.4. Accreditation as SQAS-AFRICA Auditor

4.4.1. Training Course

All applicants for accreditation as SQAS-AFRICA Auditors will be required to attend a two-day training course, organised by CAIA. Only applicants who fulfil all pre-qualification requirements will be accepted to attend the training course. The training course will be conducted in English.

Candidates shall come to the training only after studying the current versions of the following documents, which are available on the CAIA website:

- SQAS-AFRICA Core Questionnaire and Guidelines.
- SQAS-AFRICA Transport Service Questionnaire and Guidelines.
- SQAS-AFRICA Tank Cleaning Questionnaire and Guidelines.
- SQAS-AFRICA Warehouse Questionnaire and Guidelines.

The general accreditation training will address:

- The general features of the SQAS-AFRICA system.
- The auditing process and principles (preparation, fieldwork, evidence seeking, conformance with guidelines/legal framework, administration, reporting).
- The topics which are relevant to all categories/questionnaires, such as risk assessment, security, safety, sub-contracting, etc;
- The questionnaires listed above.

4.4.2. Examination

A. Written Examination

After attending the Training Course (section 4.4.1), applicants shall participate in a written examination to demonstrate their knowledge of the SQAS-AFRICA Management System.

The examination will be conducted as follows:

- The examination will be in English.
- The questions are selected by CAIA, assisted by the SQAS-AFRICA Technical and Accreditation Committee.

- The examination will be marked without knowing the name of the applicant.

B. Interview

All applicants will be interviewed in English by a panel consisting of three members of the SQAS-AFRICA Technical & Accreditation Committee. The purpose of the interview is to validate the applicants' technical knowledge, experience, qualifications and ability to carry out SQAS-AFRICA audits.

C. Passing/Failing the Examination

The applicant passes when the score of the examination is 80% or higher.

Candidates who are not successful but obtained 60% or higher can rewrite the examination once, at a date and venue determined by CAIA. They will pass if the initial interview and the rewrite examination are both 80% or higher.

Candidates who fail to meet the required standards may apply to attend an SQAS-AFRICA training course and examination organised by CAIA. This can only be allowed after two attempts (after attending two training courses). If the applicant is not successful after the second attempt he/she will not be allowed to participate in an SQAS-AFRICA training course for three years. Thereafter, he/she can re-apply to attend an SQAS-AFRICA training course.

4.5. Accreditation Categories for SQAS-AFRICA

After Accreditation in any one Accreditation Category, the SQAS-AFRICA Auditor can attain additional Accreditation in another Accreditation Category by performing audits for a total of 32 hours in the relevant category under the direction and supervision of an SQAS-AFRICA Auditor from the same Accreditation Category the applicant wishes to get accreditation.

4.5.1. SQAS-AFRICA Transport Service

In addition to the above general requirements, applicants for SQAS-AFRICA Transport Service need to demonstrate through their Continuing Professional Development (CPD):

- Knowledge of national and international regulations related to road transportation operations.
- When appropriate for the supply chain, knowledge of national and international regulations covering intermodal operations.
- Knowledge of basic technical issues concerning transportation operations.

4.5.2. SQAS-AFRICA Tank Cleaning

In addition to the above general requirements, applicants for SQAS-AFRICA Tank Cleaning need to demonstrate through their Continuing Professional Development (CPD):

- Knowledge of national regulations related to cleaning operations, environment, permits and water treatment.
- Knowledge of basic technical issues concerning tank cleaning.

4.5.3. SQAS-AFRICA Warehouse

In addition to the above general requirements, applicants for SQAS-AFRICA Warehouse need to demonstrate through their Continuing Professional Development (CPD):

- Knowledge of national regulations related to warehousing operations.
- Knowledge of basic technical issues concerning warehousing.

4.6. Witnessing of a SQAS-AFRICA Audit

The trainee auditor shall observe and carry out audits for a total of 160 hours under the direction and supervision of an SQAS-AFRICA Auditor (witnessing auditor) from the same Accreditation Category. The trainee SQAS-AFRICA Auditor shall observe the SQAS-AFRICA Auditor for 48 hours and be observed for the remaining 112 hours by the witnessing auditor.

- The witnessed audit(s) shall cover the entire management system and all phases of the audit process as defined in ISO 19011.
- Witnessing shall be carried out to verify all applicable auditing requirements as described in ISO 19011.
- The duration of the witnessed audit and verification shall be sufficient to enable the witnessing SQAS-AFRICA 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.
 - Possession of the personal behaviours identified in ISO 19011.
- The witnessing SQAS-AFRICA Auditor shall complete a report using the SQAS-AFRICA Witnessing Auditor Performance Report Form attesting to the satisfactory performance and behaviours of the applicant.

4.7. Granting the Accreditation

The Technical & Accreditation Committee recommends to CAIA to grant the SQAS-AFRICA accreditation if the candidate has:

- demonstrated that he/she has the requisite knowledge, qualifications and experience;
- attended the SQAS-AFRICA training course;
- passed the written examination and the interview;
- obtained successfully an Accreditation Category for one or more specific categories through passing the witnessing of audits; and
- successfully completed the supervised audits described in item 4.6.

The applicant will receive a CAIA SQAS-AFRICA Certificate of Accreditation, which is valid for three years. In the event that an applicant considers that a decision made by the Technical & Accreditation Committee is unreasonable, he/she may appeal to the SQAS-AFRICA Executive Committee. In this case, the procedure referred to in section 7 will be followed.

4.8. Independency and Confidentiality Requirements

All trainee and accredited SQAS-AFRICA auditors shall be required to sign a SQAS-AFRICA Code of Conduct Form.

4.8.1. Independency (Reference: ISO – IEC 17021)

- The SQAS-AFRICA Auditor shall not have financial, commercial or advisory links with the company to be audited for a period of at least 3 years prior to the audit, except for the SQAS-AFRICA commercial agreement or ISO audits.
- Before offering an SQAS-AFRICA audit, the SQAS-AFRICA Auditor shall identify any conflict of interest that could arise. This identification shall include any conflict originating in the services provided by the SQAS-AFRICA Auditor's professional relationships. Having professional relationships does not necessarily imply a conflict of interest. However, if any relationship creates a threat to impartiality, the SQAS-AFRICA Auditor shall communicate this to CAIA and be able to demonstrate how they propose to eliminate such threats. A professional relationship that threatens the impartiality of the SQAS-AFRICA Auditor can be based on family ties, shared resources, payment of a sales commission or other

inducement, to the referral of new clients, assessing the work of a colleague, etc.

4.8.2. Confidentiality

The SQAS-AFRICA Audit Team and CAIA will keep confidential any information about a particular audited company or individual that could be obtained during the audit process. The information will not be disclosed to any third party, unless under the agreement of the audited company or individual.

5. Performance Monitoring and Appraisal

5.1. General

To maintain high quality, an SQAS-AFRICA Auditor shall carry out at least three complete SQAS-AFRICA audits per year.

- Efficient communication between the SQAS-AFRICA Auditor and CAIA is important. The SQAS-AFRICA Auditor shall be accessible by e-mail and phone.
- The SQAS-AFRICA Auditor shall comply with all the requirements defined in the SQAS-AFRICA Management System.
- If, after reasonable efforts to contact the SQAS-AFRICA Auditor, he/she does not answer the emails or the phone calls, his/her accreditation may be suspended pending a final decision by the Technical & Accreditation Committee on continued accreditation.
- SQAS-AFRICA Auditors shall perform no more than three consecutive audits at the same site. Auditors will be allowed to resume auditing the same site after one audit cycle break, for no more than three consecutive years.
- SQAS-AFRICA auditors shall attend at least 50% of the SQAS-AFRICA auditors' meetings per calendar year. If an auditor fails to adhere to this condition, the auditor's accreditation will be reviewed.

5.2. Performance Monitoring and Appraisal Process

The performance of each SQAS-AFRICA Auditor will be reviewed by the Technical & Accreditation Committee at pre-determined periods, at least once every three years, based on:

- A review of recent audits.

- Any feedback from observers.
- Any feedback from chemical company representatives.
- Any feedback from the audited companies.

When concerns are noted, a written feedback form with the observed concerns will be presented to the SQAS-AFRICA Auditor, to which he/she shall respond and take corrective actions.

5.3. Maintenance of Certification

5.3.1. Annual Surveillance, Membership Card Re-issue and Fee for Maintenance

- An annual registration application form is required, when personal details have changed and require updating.
- Annual submission (in January) of Audit Logs, CPD logs and Auditee feedback is required for the three-year certification review.

Refer below for details of audit and CPD requirements.

Note: Audit Logs, any feedback and CPD Logs (where CPD has taken place) shall be submitted in January every year (using the relevant SQAS-AFRICA forms) with registration fees and recorded by CAIA as annual surveillance. (These will be evaluated three-yearly by the Technical and Accreditation Committee.)

5.3.2. Annual Registration Fee (subscription) Payable to CAIA

CAIA determines registration fees on an annual basis. SQAS-AFRICA Auditors who fail to meet the annual fee requirements may be subject to suspension or withdrawal of accreditation.

5.3.3. Three Yearly Application for Re-Certification

All certified SQAS-AFRICA Auditors shall be required to renew certification. The period between certifications (and between initial and renewals) would be three years. Applicants for re-certification shall complete and submit the applicable application form.

5.3.4. Maintenance of Auditing Ability

Each applicant for re-certification shall maintain an audit log where details of a minimum of three audits per year performed by the applicant, shall be recorded.

Note: Annual Audit Logs shall be evaluated every three years, by the Technical and Accreditation Committee.

5.4. Continuing Professional Development (CPD)

It is mandatory that each CAIA certified SQAS-AFRICA Auditor performs at least 45 hours of appropriate CPD during each three-year period prior to renewal of certification using the SQAS-AFRICA CPD Form.

Evidence of that professional development, properly verified, shall be submitted as part of the application for renewal of certification. CAIA will accept CPD acquired in activities that range from the very informal (e.g. reading and self-study) to the formal (e.g. classroom training). To balance the range, "weighting" is applied where some activities are accorded more recognition than others. The table below gives examples of verifiable CPD, verifiable evidence and non-verifiable CPD.

Examples of Verifiable CPD	Examples of Verifiable Evidence	Examples of Non-Verifiable CPD
Workshops	Course/ training certificates	Reading newspapers
Courses	Attendance registers at meetings/ workshops	Watching auditing DVDs
Conferences	Third-party attendance verification	Self-study that does not lead to any formal assessment or research paper
Technical meetings	Minutes of a meeting	Research that does not lead to any formal assessment or research paper
Developing new systems or processes	Research papers	
Presenting information to others	Presentations	
On-the-job training	Course material	
Mentoring or being mentored		
Industry published articles		

Examples of Verifiable CPD	Examples of Verifiable Evidence	Examples of Non-Verifiable CPD
Committee work including auditor meetings		
Preparing papers and contributing to technical meetings		
Action-based learning (research)		
CPD clubs or discussion groups		

SQAS-AFRICA CPD may be performed in areas including:

- The fields listed under Education; and/or
- Related auditing practices or techniques; and/or
- Related management systems; and/or
- Generic management tools or techniques; and/or
- Related risk assessments; and/or
- SQAS-AFRICA meetings organised by CAIA.

At least eight hours of CPD per three-year cycle shall be related to updating relevant legal knowledge.

At least 25 hours of CPD where audits are not conducted in the three-year cycle shall be required.

CPD Logs shall be submitted annually with registration fees.

5.5. Suspension and/or Revocation of an Accreditation

When repeated or serious deviations from the required performance criteria are observed, the SQAS-AFRICA Auditor may be called to an interview with a panel drawn from the Technical & Accreditation Committee to discuss their appraisal. The SQAS-AFRICA Auditor will have the opportunity to present his/her case. The SQAS-AFRICA Auditor will be formally informed of the outcome of such an interview by CAIA.

The accreditation of the SQAS-AFRICA Auditor can be suspended by CAIA in cases where serious or repeated deviations are found. The suspension imposes a temporary prohibition to carry out audits. In this case, the SQAS-AFRICA Auditor will be invited to an interview with a panel drawn from the Technical & Accreditation Committee. The procedure described in the paragraph above will be followed.

The SQAS-AFRICA Auditor accreditation may be revoked by CAIA, if the performance of the SQAS-AFRICA Auditor does not meet the required standards. Depending on the discrepancy, this may result in the revocation of one or more Accreditation Categories. CAIA will remind the SQAS-AFRICA Auditor of his/her right to appeal following the procedure as set out in section 7.

In the event that an SQAS-AFRICA Auditor considers that a decision made by the Technical & Accreditation Committee is unreasonable, he/she may appeal to the SQAS-AFRICA Executive Committee. In this case, the procedure referred in section 7 will be followed.

6. Accreditation Extension

6.1. Refresher Accreditation Training

Regular refresher training will be held to ensure continual high quality of the SQAS-AFRICA Auditors and to facilitate the accreditation extension process. All SQAS-AFRICA Auditors shall attend the re-fresher training held by CAIA once every three years.

The refresher training will cover:

- A general update on the status and content of all categories.
- Selected topics chosen from all modules, where SQAS-AFRICA Auditors experienced difficulties or where the Technical & Accreditation Committee noticed inconsistencies.
- An exchange of learning. The sessions will allow sufficient time for debate amongst SQAS-AFRICA Auditors and with the industry specialists in attendance.

6.2. Granting the Accreditation Extension

The accreditation will be extended for a further period if the SQAS-AFRICA Auditor is found successful after the evaluation by the Technical & Accreditation Committee.

7. Appeal Procedure

- The appellant shall write to the Chairperson of the SQAS-AFRICA Executive Committee indicating in detail the reasons why he/she believes that a decision taken by the Technical & Accreditation Committee is unreasonable or not in accordance with the SQAS-AFRICA Accreditation Manual, and that the applicant wishes to appeal.
- CAIA will be notified of receipt of an appeal notice by the Executive Committee Chairperson and then collect the relevant information that may be helpful in reviewing the case and convene an Appeal Panel.
- The Appeal Panel will consist of three members, none being members of the Technical & Accreditation Committee panel who interviewed the SQAS-AFRICA Auditor.
- CAIA will provide the Appeal Panel with the necessary background information on the decision.
- The appellant shall be entitled to be heard by the Appeal Panel.
- The majority of the Appeal Panel decides if the original decision shall be upheld. The appellant will be informed in writing accordingly by CAIA.

8. Details of Registered SQAS-AFRICA Auditors

Details of registered SQAS-AFRICA Auditors shall be published on CAIA's website: www.caia.co.za.