ECO CERTIFICATIONS
Applicant Guide

Environmental Management System Auditors
Environmental Management System Lead Auditors
Certified Environmental Auditors
Certified Environmental Auditors (Sustainable Forest Management)

A STEP-BY-STEP GUIDE TO THE AUDITOR CERTIFICATION PROCESS

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Welcome to the CECAB Certification Process

Thank you for your interest in environmental auditor certification with the Canadian Environmental Certification Approvals Board (CECAB). Please review the information provided in this guide to ensure your eligibility. It will also help you to ensure that your application is completed as thoroughly as possible. It is an excellent reference to assist in the application/recertification process.

Environmental Auditing Certifications

In August of 2003, CECAB's managing body, ECO Canada (Environmental Careers Organization Canada), formed a partnership with the Auditing Association of Canada (AAC) {formerly the Canadian Environmental Auditing Association (CEAA)}, which effectively transferred administration and management of environmental auditor certification to CECAB. The goals of the partnership include centralizing environmental certification in Canada and providing improved service to both applicants and certified members. As a result, individuals now apply for environmental auditing certification directly through the CECAB website—an online system that has streamlined the application process.

Although the AAC no longer administers the environmental auditing certification program, it continues to operate as a membership-based industry association, which is recognized as the authority on issues regarding environmental auditing in Canada. You are not required to hold an AAC membership to become certified as an EMS(A) or EMS(LA).

Auditor Certification Requirements for Initial Applicants

To qualify for CEA, CEA(SFM), EMS(A) or EMS(LA) certification, a candidate must satisfy basic requirements in the areas of work experience, education, formal training, and on-the-job training (auditing experience). The eligibility requirements for initial application to the auditing certifications are outlined in this section.

Work Experience

Applicants must have a total of five years of work experience. For EMS(LA) and EMS(A) applicants, at least two of those five years must be in the field of environmental management. The work experience should contribute to the development of knowledge and skills in some or all of the following areas:

- Environmental management methods and techniques;
- Environmental science and technology;
- Technical and environmental aspects of operations;
- Relevant requirements of environmental laws, regulations and related documents;
- Environmental management systems and standards; and,
- Audit procedures, processes and techniques.

Education

All applicants for Auditing Designations must have either:

- A degree from a recognized Canadian or international post-secondary institution / university. A degree generally involves a minimum of three years formal full-time or equivalent part-time study; or
- A diploma from a recognized Canadian or international post-secondary institution, community college, technical institute or CÉGEP (Québec).   Technician/technologist diplomas typically involve completion of two to three years and over 2000 hours of formal, accredited academic training. Canadian Certified Engineering Technologist (CET) and Applied Science Technologist (AScT) are examples of acceptable technical diplomas.

The degree or diploma should be relevant to the designation sought. A relevant degree or diploma should concentrate on one of the following areas:

- Engineering (including forest engineering for CEA(SFM) applicants);
- Natural science (including forestry for CEA(SFM) applicants);
- Environmental science or technology;
- Law;
- Business administration; or
- Accounting

Training

EMS(A) and EMS(LA)

Applicants for EMS(A) and EMS(LA) designations must have completed 35 hours of auditor training that contributes to the development of knowledge and skills in the following areas:

- Audit principles, procedures and techniques;
- Management system and reference documents;
- Organizational situations;
- Environmental management methods and techniques;
- Environmental science and technology; and,
- Technical and environmental aspects of operations.

Note that Quality Management System Auditors need only 24 hours of formal training in the areas listed. Proof of QMS Auditor certification or training is required, including the name of the certification or training organization and a verification contact.

Applicants are required to provide objective evidence that they have taken training in the required areas under the supervision of an appropriate instructor through a structured learning program that includes

evaluation of participants' achievement of learning objectives. Formal training courses may include both group (classroom) and individual learning activities.

Acting as an instructor in training courses on the topics specified may also be accepted as (fully or partially) satisfying this criterion.

The criteria for formal training in some or all of these areas may be waived if competence can be demonstrated through accredited examinations or relevant professional qualifications.

Appropriate formal training options accepted by CECAB are:

- Completion of an EMS Lead Auditor course accredited by one of the following organizations/programs:
    - Standards Council of Canada (SCC)
    - ANSI Accreditation Services
- Completion of courses with accreditation other than SCC and ANSI, or courses offered by learning institutions other than the aforementioned environmental auditing course providers. In such cases, CECAB may review course documentation to determine conformance to the CECAB Body of Skills and Knowledge (BOSK).
- Certification from another auditor certification body as an Environmental Management Systems auditor. To receive formal training credit by this means, each such certification must be approved by CECAB.

CEA and CEA(SFM)

Applicants for CEA and CEA(SFM) designations must have completed a minimum of 35 hours of formal training. Formal training may be provided by the auditor's own organization, or by an external organization.

Formal training shall address the following topics:

- Environmental management systems and standards against which audits may be performed, including ISO 14001;
- Environmental science and technology;
- Technical and environmental aspects of various types of business activities and facility operations;
- Relevant requirements of environmental laws, regulations and related documents;   and,
- Different types of environmental audits, audit procedures, processes, and techniques, and guidelines for auditing, including ISO 19011.

Formal training courses are not required to be SCC-accredited or to follow CECAB's course specifications in all respects, but applicants are required to provide course curricula to indicate that they have taken training in the required areas under the supervision of an appropriate instructor through a structured learning program that includes evaluation of participants' achievement of learning objectives. Formal training courses may include both group (classroom) and individual learning activities.

The requirement for formal training may be waived where the applicant can demonstrate competence in these areas in an appropriate way, such as a professional qualification, or passing an examination by a recognized course provider.

Acting as an instructor in training courses on the topics specified may also be accepted as (fully or partially) satisfying this criterion.

In addition, CEA(SFM) applicants shall have 10 hours of formal, supplementary training. Such training may be provided by the auditor's own organization, or by an external organization, and should address the following topics:

- Environmental-sustainable forest management systems and standards against which forestry audits may be performed, including ISO 14001 and CSA Z809 (with CSA Z808 as guidance);
- Forestry;
- Technical and environmental aspects of forestry practices; and,
- Different types of environmental audits, audit processes, techniques and guidelines for auditing forestry practices, including CSA Plus 1133.

Membership

CEA and CEA(SFM) applicants are required to hold a current membership with the Auditing Association of Canada (AAC). EMS(A) and EMS(LA) applicants are NOT required to hold any memberships to any organizations.

Audit Experience

Each applicant shall submit audit logs in order to demonstrate that his/her audit experience was gained under the prescribed conditions and within the required time frame.

EMS(A) and EMS(LA)

Audit experience consists of two parts. The first is experience with an EMS audit standard. CECAB recognizes ISO 14001 as the benchmark for EMS standards. The second is experience with audit activities as outlined in ISO 19011, Clause 6.

CECAB also accepts audit experience to EMS documents other than ISO 14001 that CECAB has found to be equivalent. Equivalency is defined as an alternate environmental system based standard to ISO 14001 which provides sufficient EMS content and audit experience to meet CECAB designated EMS auditor experience requirements. For further information, contact the CECAB Registrar.

For the EMS(A) certification, applicants need a minimum of four complete audits for a total of at least 20 days of audit experience as an auditor-in-training under the direction and guidance of an auditor competent as an audit team leader. The required auditing experience must have been gained at a

minimum of three different organizations or business units/operations. Note that an audit day shall not be less than six hours.

For EMS(LA) certification, *in addition to* the EMS(A) requirements, applicants need at least three complete audits for a total of 15 days of audit experience acting in the role of the audit team leader.

In order to be considered acceptable EMS auditing experience (a 'complete audit'), an audit must meet the following criteria:

- Environmental management system audits mean audits as defined in ISO 19011, which are the "systematic, independent and documented process for obtaining audit evidence (records, statements of fact or other information, which are relevant to the audit criteria and verifiable) and evaluating it objectively to determine the extent to which the audit criteria (set of policies, procedures or requirements) are fulfilled".
- Each audit must be an independent audit. Internal audits, sometimes called first-party audits, are conducted by, or on behalf of, the organization itself for management review and other internal purposes. In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited. External audits include those generally termed second- and third- party audits. Second-party audits are conducted by parties having an interest in the organization, such as customers, or by other persons on their behalf. Third-party audits are conducted by external auditing organizations, such as those providing registration or certification of conformity to the requirements of ISO 14001.
- Audits must have been completed within the last three (3) consecutive years. Note that this period may be extended where the applicant has spent time away from work due to maternity/paternity leave or disability. The period of extension will be a maximum of one year, and the applicant must have performed at least one audit since their return to work.
- Audits must be verifiable. Audit verification can be supplied by the audit program manager, audit team leader, auditee, or another auditor on the team. If a verification contact person's name and telephone number cannot be provided, that audit will not be considered in the certification process.
- Each audit must be a complete audit. A complete audit is an audit covering all of the steps described in ISO 19011 sections 6.2 to 6.6. It should be noted, however, that the applicant auditor need not have personally performed all of the activities in each of the complete audits.

The overall audit experience must include personal involvement in each of the steps of the audit process, as described in ISO 19011. Activities required for EMS(A) and EMS(LA) applications are:

ISO 19011 Section	Clause	Required for LA	Required for A
6.2	Initiating the Audit	✓	
6.3	Conducting Document Review	✓	✓
6.4.1	Preparing the Audit Plan	✓	
6.4.2	Assigning Work to the Audit Team	✓	
6.4.3	Preparing Work Documents	✓	✓
6.5.1	Conducting the Opening Meeting	✓	✓
6.5.2	Communication During the Audit	✓	✓
6.5.3	Roles and Responsibilities of Guides and Observers	✓	
6.5.4	Collecting and Verifying information	✓	✓
6.5.5	Generating Audit Findings	✓	✓
6.5.6	Preparing Audit Conclusions	✓	✓
6.5.7	Conducting Closing Meeting	✓	✓
6.6.1	Preparing the Audit Report	✓	
6.6.2	Approving and Distributing the Audit Report	✓	

Notes:

The audit activities as described in ISO 19011, 6.2-6.6 form the basis of an applicants' audit experience evaluation. CECAB maintains an equivalency program whereby audits conducted in accordance with a standard other than ISO 19011 may be deemed to be in conformance with ISO 19011, 6.2-6.6 and are thus accepted by CECAB in place of audit experience in accordance with ISO 19011.

The maximum allowable off-site time is 10 days for EMS(A) and 17 days for EMS(LA). Per audit, off-site activity is limited to one day for each day of on-site activity. Off-site activities include planning, document review and preparation of the audit report. On-site activities include opening and closing meetings, and the conformance determination phase of the audit.

 Audits of extended length may be used to constitute more than one audit for the purposes of meeting the number of audits application criterion. The following conversion can be used on extensive audits:

- *Each month of an extended audit = 1 audit*
- *One month is considered to be 20 working days*
- *Thus, extended audits are divided by 20. Any remainder is also considered to be an audit. For example, a 44 day audit = 3 audits (20+20+4), a 23 day audit = 2 audits (20+3), 19 day audit = 1 audit.*

CEA and CEA(SFM)

For the CEA certification, applicants need a minimum of eight environmental audits for a total of at least 40 days of audit experience.   Note that an audit day shall not be less than six hours.

For CEA(SFM) certification, the requirement for the number of audits and audit days is the same as for the CEA certification. However, for CEA(SFM) applicants, all audits must be forestry-related environmental audits, and at least two must be Sustainable Forest Management audits:

- Forestry-related environmental audits are audits conducted at forest industry manufacturing facilities (sawmills, pulp mills, OSB plants, etc.) or of forest industry operational infrastructure.
- Sustainable Forest Management (SFM) audits means a forest management audit conducted on-site at a woodlands operation that addresses policies, practices, forest conditions, operational procedures and other policy requirements such as those covered by CAN/CSA Z809 or AFPA SFI.

In order to be considered acceptable CEA/CEA(SFM) auditing experience, an audit must meet the following criteria:

- "Environmental audits" means audits as defined in ISO 19011 as the "systematic, independent and documented process for obtaining audit evidence (records, statements of fact or other information, which are relevant to the audit criteria and verifiable) and evaluating it objectively to determine the extent to which the audit criteria (set of policies, procedures or requirements) are fulfilled". Alternately, if the audit is forestry related, it shall have been completed in accordance with CSA Z809.
- Environmental audits include not only EMS audits but also multi-issue compliance audits, single issue audits, and pre-acquisition and divestment audits that meet the above definition.
- Each audit must be an independent audit. Internal audits, sometimes called first-party audits, are conducted by, or on behalf of, the organization itself for management review and other internal purposes. In many cases, particularly in smaller organizations, independence can be demonstrated by the freedom from responsibility for the activity being audited. External audits include those generally termed second- and third- party audits. Second-party audits are conducted by parties having an interest in the organization, such as customers, or by other persons on their behalf. Third-party audits are conducted by external auditing organizations, such as those providing registration or certification of conformity to the requirements of ISO 14001.
- Audits must have been completed within the last three (3) consecutive years. Note that this period may be extended where the applicant has spent time away from work due to maternity/paternity leave or disability. The period of extension will be a maximum of one year, and the applicant must have performed at least one audit since their return to work.
- Audits must be verifiable. Audit verification can be supplied by the audit program manager, audit team leader, auditee, or another auditor on the team. If a verification contact person's name and telephone number cannot be provided, that audit will not be considered in the certification process.

The overall audit experience must include personal involvement in each of the steps of the audit process, as described in ISO 19011 (6.2 to 6.6).

Notes:

The audit activities as described in ISO 19011, 6.2-6.6 form the basis of an applicants' audit experience evaluation. CECAB maintains an equivalency program whereby audits conducted in accordance with a standard other than ISO 19011 or CSAZ773 (or CSA Z809 if forestry related) may be deemed to be in conformance with ISO 19011, 6.2-6.6 and are thus accepted by CECAB in place of audit experience in accordance with ISO 19011.

The maximum allowable off-site time is 20 days. Per audit, off-site activity is limited to one day for each day of on-site activity. Off-site activities include planning, document review and preparation of the audit report. On-site activities include opening and closing meetings, and the conformance determination phase of the audit.

Supplementary Written Exam

All applicants must achieve a minimum passing grade of 70% in a four-hour supplementary written exam monitored by an eligible proctor.

The exam(s) cover:

- Environmental management systems, standards, and practices;
- Environmental legislation, regulations, and other requirements;
- Environmental aspects, impacts and technology;
- CECAB Code of Ethics; and
- Environmental auditing case studies.

For further details regarding the examination component, see F009 'Written Examination Guidelines for Applicants and Proctors on the Supporting Documents page of the CECAB website (http://www.cecab.org/public/content.aspx?display=documents).

The Key Steps to Completing Your Application – Initial Applicants

At this point in the application process, you will have provided CECAB with your contact information, as well as the certification you wish to pursue. The aim of this section is to aid you in entering your qualifications into the CECAB applicant website. Note that you may find it beneficial to have a current resume available for reference.

Registration

Applications for environmental auditor certification are accepted via the CECAB website only. Please ensure that all information is accurate and complete. It is recommended that applicants enter their

entire education and employment histories rather than only what will meet the minimum requirements. Please also indicate all the designations you currently hold, especially any management system auditor designations, and the organization from which it was granted.

Certification Eligibility

Employment

On the Background tab, you will complete a section for employment / work experience. You may enter as many positions as are relevant to your application. When completing this section of the application, please be sure to include:

- Name and contact information of employer, size of the organization, job title and job type.
- Dates employed: List your work experience in chronological order with your most recent experience first. Ensure you meet the minimum requirements for both total and appropriate work experience. Please note that you can only enter one current position in your work experience. If you are currently holding two positions, please choose which position you would like displayed on our roster, and enter in an end date for the other position.
- Supervisor name and contact information: Provide contact information for person(s) familiar with your work, such as employer(s), client(s) or supervisor(s) and a means by which they may be contacted.
- Job Description, including detailed information as to the nature of the position, what duties and responsibilities the job entailed, and other relevant information for each significant position/assignment. Provide clear, concise and specific details for work experience submitted.
- Level, Specialty and Occupation that best fit the position that you are detailing.

BACKGROUND

EMPLOYMENT ⑦

Please provide the following details of your employment. Click on the Help (?) icon for further details.

NOTE: *For "current" employment, you are only required to enter your start date (FROM), not an end date (TO).*

* required field

* JOB TITLE:
Climatology Specialist

* ORGANIZATION:
ABC Consulting

* STATUS:
CURRENT

* JOB TYPE:
full time

* ORGANIZATION SIZE
10-49

* FROM:(mm/dd/yyyy)
04/04/2004

* TO:(mm/dd/yyyy)

* SUPERVISOR:
Mr. Joe Smith

* SUPERVISOR EMAIL:
joe.smith@abconsulting.com

* SUPERVISOR PHONE:
987-654-3210

* ADDRESS:
234 - 5th Ave. SW

* CITY:
Calgary

* PROVINCE:
Alberta

* POSTAL CODE:
T1A 2B3

* COUNTRY:
Canada

* PHONE:
123-456-7890

FAX:

* JOB DESCRIPTION:
In this position, my duties and responsibilities include providing expertise on climate change, as well as conducting ISO 14001 audits, compliance audits and Phase I and II Environmental Site Assessments.

* LEVEL:
Technical

* SPECIALTY:
Climate Change

* OCCUPATION:
Auditor

IF OTHER, PLEASE SPECIFY:

IF OTHER, PLEASE SPECIFY:

SAVE CANCEL

Education

Education is also entered into the Background tab. When you are entering your education information, please be sure that you fill in the degree/diploma type, name of the institution from which you graduated, your field of specialization, the credential awarded, your date of graduation (as it appears on your transcripts), the length of the program, and the location of the institution you attended.

It is important that the information entered here matches the information on the transcripts your institution sends to CECAB. To submit your transcripts, please ensure:

- Your transcripts are sent directly to CECAB from the awarding institution. Personal, faxed or opened copies of academic transcripts will not be accepted. They must bear the Registrar's stamp to ensure authenticity.
- You have officially graduated from the institution before you request your academic transcripts. CECAB requires that the degree awarded and graduation date be indicated on your transcripts.

Training

Formal Training is detailed on the Background Information tab. When inputting your formal training, please be sure to include:

- Description of formal training (course provider information, course title and course curricula): Provide clear, concise and specific details of your relevant formal training, to demonstrate that the courses taken meet the formal training topics listed above. This includes the courses taken, topics covered in courses (course curricula), work completed, and any papers given.
- Date Obtained: List your relevant formal training in chronological order beginning with your most recent training.
- Course Length in hours: You must include a minimum total of 35 hours of formal training.

Please note that verification of training is required – please fax a certificate of completion or similar documentation granted for any formal auditing course you may have taken to CECAB at (403) 264-6240.

Membership

CEA and CEA(SFM) Applicants are required to hold current memberships with the Auditing Association of Canada (AAC). Be sure to enter your Designation, Date Obtained, and Member Number into this section.

Audits

When completing each audit log, please ensure that you include:

- Audit type – select either Compliance or EMS
- Start Date and End Date – note that the start date is the first day of the site visit, beginning with the opening meeting, and the end date is the date the audit report is submitted to the client.
- Days On-site, Days Off-site, and Team Size – please see the Audit Experience section above for the definition of on-site and off-site.
- Role in the audit – indicate whether your role was as Auditor or Lead Auditor.
- Auditee – including the company name, location and contact information, as well as the industry sector and the type of facility.
- Client – including the company name, location and contact information.
- Verifier – this is the person that you wish CECAB to contact if verification of the information provided is required. Include a first and last name, contact information and the verification contact's relation to the audit stated in the log.

- Audit Type (EMS only) - select either 1st 2nd or 3rd party to indicate the type of audit.
- Elements Audited (EMS only) – check each of the elements of the standard that were personally performed by you during the audit.
- Audit Criteria (Compliance only) – select the audit criteria from the drop down list. If your selection is not an industry standard, then provide details about the audit criteria in the description section.
- Process (Compliance only) – select the process used from the drop down list. Note that if CSA Z773 is selected, you will be prompted to complete checkboxes indicating which elements of the standard were personally performed by you during the audit. If you select 'other', provide details in the description section.
- Audit Description – provide a detailed description of the scope of the audit, in which aspects you were involved, and any other relevant information.   This section is critical in determining whether an audit meets the criteria stated in the Audit Experience section above, so the more details you provide; the easier it is for CECAB to understand the breadth of your audit experience.

EMS AUDIT TYPE:

3rd party

14001:
- ☑ 4.1 General requirements
- ☑ 4.2 Environmental policy
- ☑ 4.3.1 Environmental aspects
- ☑ 4.3.2 Legal and other requirements
- ☑ 4.3.3 Objectives, targets and programme(s)
- ☑ 4.4.1 Resources, roles, responsibility and authority
- ☑ 4.4.2 Competence, training and awareness
- ☑ 4.4.3 Communication
- ☑ 4.4.4 Documentation
- ☑ 4.4.5 Control of documents
- ☑ 4.4.6 Operational control
- ☑ 4.4.7 Emergency preparedness and response
- ☑ 4.5.1 Monitoring and measurement
- ☑ 4.5.2 Evaluation of compliance
- ☑ 4.5.3 Nonconformity, corrective action and preventive action
- ☑ 4.5.4 Control of records
- ☑ 4.5.5 Internal audit
- ☑ 4.6 Management review

19011:
- ☐ 6.2 Initiating the Audit
- ☑ 6.3 Conducting Document Review
- ☐ 6.4.1 Preparing the Audit Plan
- ☐ 6.4.2 Assigning Work to the Audit Team
- ☑ 6.4.3 Preparing Work Documents
- ☐ 6.5.1 Conducting the Opening Meeting
- ☑ 6.5.2 Communication During the Audit
- ☑ 6.5.3 Roles and responsibilities of guides and Observers
- ☑ 6.5.4 Collecting and Verifying Information
- ☑ 6.5.5 Generating audit findings
- ☑ 6.5.6 Preparing Audit Conclusions
- ☐ 6.5.7 Conducting Closing Meeting
- ☐ 6.6.1 Preparing the Audit Report
- ☐ 6.6.2 Approving and Distributing the Audit Report

* Description of audit including scope (e.g. air, water, waste, emergency planning, etcetera) Provide details on which aspects of the audit process in which you were involved. If possible, reference the audit process as described in ISO 14011 or ISO 19011.

This was Re-Registration audit, which included a separate docuemnt review off-site. Scope: all activities on site since the last audit, covering the EMS as it relates to the design and manufacturing of paper products. Process approach was used throughout the audit. The processes included: Planning - EMS and Documentation review, environmental aspects. Processes included were waste management, maintenance and calibration; purchasing, including supplier and contractor control; communication; competence, training and awareness; documentation, document control and control of records; Nonconformance and corrective and preventive actions, as well as continual improvement. Internal audits and Management Review were also broached in detail. During the audit of these processes, as per audit plan, all of the subclauses of the ISO 14001:2004 were audited.

[SAVE] [CANCEL]

Payment

For your convenience, CECAB's online application system allows you to pay your non-refundable registration fee and subsequent renewal fees by credit card via our website. Please pay your fees as soon as you are automatically directed to the payment page, as CECAB staff will not be able to process your account until payment is made. The chart below summarizes applicable fees.

Auditing Fee Schedule

Designation	One-Time Application Fee	Annual Maintenance Fee	Recertification Fee
CEA	$425 + GST	$ 215 for one designation; $135 for each additional + GST	N/A
CEA(SFM)	$425 + GST		N/A
EMS(A)	$425 + GST		N/A
EMS(LA)	$425 + GST		N/A

The Online Payment Centre can be accessed at any time, and once you become certified each credit card transaction record will be kept here. You can access this information and print copies of your invoices and receipts as needed.

Frequently Asked Questions – Initial Application Completion

Where do my transcripts get sent to?
Please have the registrar's office of the academic institution from which you graduated send an original copy of your transcripts to the CECAB office at the following address:

CECAB Registrar
Canadian Environmental Certification Approvals Board
Suite 200, 308- 11 Avenue SE
Calgary, Alberta
T2G 0Y2

Can I mail or fax a copy of my transcripts to CECAB?
No. CECAB requires a set of original transcripts sent directly from the awarding institution in order to verify your academic credentials. Transcripts received from applicants can rarely be verified and are not acceptable. Most universities have an online transcripts ordering system that is quick and easy. Check the website of the institution from which you graduated for their policy on sending original transcripts.

When I graduated, I received a copy of my transcripts in a sealed envelope. Can this be used for my application?
If you are unable to have transcripts sent from your academic institution, transcripts provided to graduating students may be acceptable. Please ensure that the seal has not been broken on the transcripts' envelope and mail them to the CECAB office. However, CECAB reserves the right to ask for additional information if needed.

I earned a diploma/degree outside of Canada and it would be difficult to have that institution send you my transcripts. In this case, can I send CECAB a copy of my transcripts?
A fax or photocopy of transcripts is not acceptable on its own whether the education was obtained within Canada or abroad.

If I have more than one degree or diploma, do I need to send transcripts for each program?
No. You only need to arrange for original transcripts of the highest level of post-secondary education you have obtained (E.g., M.Sc. transcripts are needed, but not B.Sc.). If you have more than one degree or diploma at the same level, CECAB requires the only one set of original transcripts that would qualify as "relevant education."

Should I include my entire employment history?
CECAB recommends that you include all relevant employment in your application, rather than just that which you feel would satisfy the minimum requirements.

Do I need to have a current AAC membership to become certified as an EMS(A) or EMS(LA)?
No. Only auditors applying for a CEA or CEA(SFM) certification are required to have a current membership with the AAC.

All of my auditing experience has been internal audits for companies I've worked for, is this acceptable audit experience?
Yes. Your audits can all be 1st, 2nd, or 3rd party audits, as long as you have audited at least three separate organizations or business units throughout your audit experience.

Will I receive confirmation that CECAB has received my application?
Yes. Once you have entered and finalized all of the information on the Background tab, you will receive an email that outlines the next steps in the process. If you do not receive this email and you have agreed to the CECAB website Terms and Conditions, please email registrar@cecab.org to inquire about the status of your application. Please note that the CECAB Registrar will only review applications that have submitted full documentation and payment of the application fee.

After I fill out the online forms, what else do I need to do?
Once the online application is complete, the CECAB Registrar will review your file after we receive the following items:

- Official transcripts of your post-secondary education
  Applicants are responsible for arranging delivery of these transcripts to CECAB directly from the awarding educational institution.
- Evidence of Formal Training
  Please fax to CECAB a certificate of completion or similar documentation granted for any formal auditing course you may have taken that satisfies the Formal Training requirements. CECAB's fax number is (403) 264-6240.
- Payment of Application Fees
  Payment can be made by credit card on CECAB's website, by cheque or by money order. Please note that all applicants for CEA, and CEA(SFM) are required to have a current AAC membership. CECAB will accept AAC membership payments at the time of initial application only.

If I meet the eligibility requirements for applying, but do not get certified, will CECAB refund my payment?
No. The CECAB registration fee is non-refundable regardless of the outcome of your certification.

Will CECAB provide me with a receipt of my payment for tax purposes?
No. As an applicant and/or certified member you will automatically receive a copy of a payment receipt sent to you via email when you use the Online Payment Centre. If you require an additional copy, or have misplaced your earlier copy, you may log in to your CECAB account and print another receipt through the Online Payment Centre at any time. The newly designed payment centre will allow all certified members to have access to their payment history/receipts with CECAB at any time.

Why doesn't CECAB mail out paper invoices?
All applicants have the ability to access copies of their own invoices through the Online Payment Centre. This saves you time in the application process by not waiting for an invoice by mail, and also reduces CECAB's paper usage which is beneficial for the environment.

The Key Steps to Certification – Initial Applicants

Registrar Review

The CECAB Registrar will review all elements of your application and may ask you for additional information. To complete this step, CECAB must receive an original copy of your post-secondary transcripts, payment of applicable fees, and a copy of your formal training course certification.

Panel Review

Once the CECAB Registrar is satisfied that your application is complete, two trained and certified panel reviewers will examine your application to ensure that the competency requirements have indeed been fulfilled. A third panel reviewer may be used if there is disagreement between the first two.

Supplementary Examination

Once Panel Review is complete, CECAB will contact you to schedule your written examination. You will be required to secure a volunteer exam proctor, who will administer a 4-hour written exam. The written exam is specific to the designation applied for, and two trained, volunteer exam graders will be recruited to grade your exam.

Board Ratification

The Approvals Board will review elements of your application and provide final ratification. The Approvals Board meets once a month and they oversee the certification process. To view the current members of the Canadian Environmental Certification Approvals Board please visit our website at: http://www.cecab.org/public/content.aspx?display=board_members.

If your application is approved for certification by CECAB, you will be notified via email. The next step is to log in to your CECAB account and formally accept your offer for certification online by informing CECAB that you will abide by the terms and conditions of CEA, CEA(SFM), EMS(A) or EMS(LA) membership in addition to CECAB's Code of Ethics. After accepting the CECAB terms and conditions, you must also verify that all personal information that CECAB has regarding your employment and education is correct, as these are the items that will be displayed on the CECAB Roster.

Successful Certification

Once you are successfully certified as an environmental auditor with CECAB, your name will be added to the publicly available roster located at:

http://www.cecab.org/public/roster.aspx

Appeal of Certification Decision

If you are unsuccessful in your application for certification, and you feel that the certification process was handled inappropriately, you are entitled to appeal the certification decision. The fee for an appeal is $425.00 plus GST, and is refundable in the event of a successful appeal. If you would like further information on the appeals process, please contact the CECAB Registrar at registrar@cecab.org.

Frequently Asked Questions – Steps to Certification

What's involved in Registrar Review?
In this step, the CECAB Registrar ensures that all components of your application are complete. It is common for applicants to be asked for additional information regarding any information that may seem contradictory or inconsistent in order to clarify audit scope or any other details of your application information. As well, the CECAB Registrar will examine any documentation that you have submitted to ensure that it meets the requirements of the certification scheme. Once you have submitted your application, registrar review will typically be completed within two to four weeks. You will be contacted by email once the CECAB Registrar is satisfied your application meets all requirements and your file has moved to Panel Review.

Do I need references for my application?
No. Personal references are not needed. In your audit log details, you will be providing verification contact information. CECAB may contact these people in order to determine that the audit has taken place, and how it was conducted, but these verification contacts will not be asked about your personal attributes.

What is Panel Review?
In Panel Review, two certified, trained volunteers will examine your application information to ensure that your audit experience meets the requirements of the certification scheme. They review each of your audits to ensure a complete environmental audit took place. The identities of Panel Reviewers are confidential and will not be released to the applicant. The Panel Reviewers themselves must sign a confidentiality agreement and a conflict of interest declaration. At least two Panel Reviewers must recommend your file to CECAB for approval and a maximum of three Panel Reviewers are allowed to examine your application. The Panel Review process may take up to two months as CECAB needs to secure certified volunteers, and these volunteers need to review and report on the application. If a third reviewer is required, this process will take longer. CECAB encourages all certified members to volunteer to become Panel Reviewers, as this activity can be used towards the 75-hour professional development requirement for recertification.

Where do I go to write my supplementary exam?
Examinations are coordinated by CECAB staff and are written online. Once your file has passed Panel Review, you will be contacted by CECAB and a suitable time will be scheduled in your area, usually at

your place of employment. It is the responsibility of the applicant to secure both an eligible proctor and suitable location (see F009 'Written Examination Guidelines for Applicants and Proctors' on the Support Documents page of the CECAB website for further details). Typically, applicants choose to set up their exam a couple of months after the panel review process is complete so that they have adequate time to prepare. As a certified member, you may decide to volunteer to grade written exams, as this activity can be used towards the 75-hour professional development requirement for recertification.

How long does the application process take?
The entire application process typically lasts between six months to a year depending on how long it takes to secure volunteers, how long the applicant needs to prepare for the exam, and how long panel reviewers and exam graders need to complete their tasks.

Under what circumstances is "disciplinary action" taken?
Certification may be revoked if a certified member breaches CECAB's Code of Ethics. Revocation proceedings could be initiated by a complaint, registered in writing, to the Registrar by an employer, client, or member of the general public. The following actions are examples of what could initiate a complaint and ultimately result in revocation of a certificate:

- Falsification of credentials
- Evidence of professional incompetence
- Breach of the Code of Ethics
- Knowingly falsifying environmental documentation
- Professional misconduct

Maintenance Requirements

After you have become certified, you must meet certain maintenance requirements. You will be required to pay an annual certification renewal fee of $215.00 for your first designation, and $135 for each additional designation, on the anniversary date of your certification. For your convenience, this annual fee can be paid through the Online Payment Centre in your CECAB account.

Auditing Fee Schedule

Designation	One-Time Application Fee	Annual Maintenance Fee	Recertification Fee
CEA	$425 + GST	$ 215 for one designation; $135 for each additional + GST	N/A
CEA(SFM)	$425 + GST		N/A
EMS(A)	$425 + GST		N/A
EMS(LA)	$425 + GST		N/A

If payment is not received within 30 days of its due date, a late penalty of $35.00 will apply and you will be temporarily removed from the CECAB Roster until payment is received. This status will be lifted and your name will be placed back on the Roster once payment is received. CECAB will notify you again at 60 days and 90 days if payment is not yet received.

In certain circumstances, the CECAB Registrar may approve a request for a "renewal dues deferment." If you have been unable to make payments for such reasons as: unemployment/parental leave, health/disability issues or return to school, such a request must be received in writing. It should be noted that deferment of payment does not change an individual's required date of recertification.

If it has been more than two years since CECAB has received any communication from you and you still have outstanding fees, your account will be permanently removed and you will have to re-apply as a new applicant.

Recertification

Certified members must go through the recertification process five years after their original certification date, and once every five years after that. The five-year recertification process for auditing-related designations includes two parts - Audit Experience and Professional Development.

Audit Experience

Certified members preparing for recertification are asked to enter the details of all of the audits that they have been involved with during their recertification period. All audits that have been performed should be logged into the CECAB member's site.

Auditing Experience shall have occurred within a period of five (5) consecutive years immediately preceding the date of application for recertification. Note that this period may be extended where the member has spent time away from work due to maternity/paternity leave or disability. The period of extension will be a maximum of one year, and the member must have performed at least one audit since their return to work. Members must have a Request for Suspension of Certification to be considered for extension.

Audit Experience used for recertification requirements must conform to the same requirements as audit experience used for the initial application.   See the section on Auditor Certification Requirements for Initial Applicants – Audit Experience in this document for details regarding what constitutes an appropriate audit.

Criteria for EMS(A)

- Seven (7) complete audits for a total of at least thirty-three (33) days of audit experience as an auditor.
- An audit day shall not be less than six (6) hours.

- The maximum allowable off-site time is sixteen (16) days. Per audit, off-site activity is limited to one day for each day of on-site activity.

Criteria for EMS(LA)

- Completion of all the recertification requirements of EMS(A).
- Of the seven audits, a minimum of four (4) shall be as Lead Auditor.

Criteria for CEA

- A CEA shall have audit experience totaling a minimum of fifty (50) audit days, and a minimum of ten (10) environmental audits.
- An audit day shall not be less than six (6) hours.
- The maximum allowable off-site time is twenty-five (25) days. Per audit, off-site activity is limited to one day for each day of on-site activity.

Criteria for CEA(SFM)

- Completion of all the recertification requirements of CEA.
- Of the ten audits, a minimum of four (4) shall be Sustainable Forest Management audits.

Audit Related Activities

CECAB recognizes that as a result of career progression, auditors may become less involved in the actual conduct of auditing and more involved in managing audit functions. Therefore, Audit and EMS Related Activities will be recognized towards Audit Experience to a maximum of 16 days (for EMS(A) and EMS(LA)) or 25 days (for CEA and CEA(SFM)) of Audit Experience at the following rate:

FOR EMS(A) and EMS(LA): 10 days of Auditing and EMS Related Activities = 1 equivalent day of Audit Experience.

FOR CEA and CEA(SFM): 2 days of Auditing and EMS Related Activities = 1 equivalent day of Audit Experience.

Acceptable Audit and EMS Related Activities include:

- Managing an internal EMS audit program
- Projects where the auditor is involved in EMS implementation for registration to ISO 14001
- Design of audit protocols and programs
- Audit management

Professional Development

All Professional Development activities and hours must be entered into the report form for the applicable designation, available from the support documents page of the CECAB website:

http://www.cecab.org/public/content.aspx?display=documents

Supporting hard copy information can be emailed, faxed, or mailed by post to the CECAB office. This supporting documentation provides CECAB with evidence that professional development activities have indeed taken place.

It is required that all auditors complete a minimum of 75 hours per year of professional development. This is required in order to ensure that certified individuals are keeping up-to-date with the ever evolving environment industry.

EMS(A) and EMS(LA)

Professional Development activities include the development of personal skills and knowledge in the following subject areas:

- Audit principles, procedures and techniques
- Management system and reference documents
- Organizational situations
- Applicable laws, regulations and other requirements
- Environmental management methods and techniques
- Environmental science and technology
- Technical and environmental aspects of operations

EMS Auditors must undertake professional development activities relevant to four of the seven subject areas to qualify for recertification.

In the case where an EMS Auditor does not meet the minimum required days of auditing experience for Audit Experience requirements, an EMS Auditor may still be recertified provided they supplement the missing Professional Practice time with Professional Development Activities. EMS Auditors who have accrued over and above the 75 hour minimum requirement may apply some of those Professional Development hours to their Audit Experience requirements. This action will be recognized at the conversion of 24 Professional Development hours = 1 "equivalent audit day", to a maximum of 16 equivalent audit days.

Maximum Equivalent Days - when Audit Related Activities and/or excess Professional Development hours are used to supplement the minimum number of days of required Audit Experience, the maximum combined total is 16 equivalent audit days.

CEA and CEA(SFM)

Professional Development activities include the development of personal skills and knowledge in the following subject areas:

- Environmental science and technology

- Technical and environmental aspects of facility operations
- Relevant requirements of environmental laws
- Environmental management system standards and standards against which audits may be conducted
- Audit Procedures, processes and techniques

Each professional development activity must be relevant to at least two of the appropriate subject areas. CEA and CEA(SFM) members must undertake professional development activities relevant to all five appropriate subject areas to qualify for recertification.

Guidance on PD activities for all Auditing Designations

The professional development activities, the maximum annual hours per activity and the documentation required are as follows:

Professional Development Activity	Maximum annual hours/activity	Documentation Required
Documented participation as an organizer and/or instructor at company internal or external workshop, seminar or course on environmental auditing, EMS, ISO 14000 standards and other relevant topics (other relevant topics needs to be defined).	unlimited	Letter/documentation from sponsoring organization indicating attendance.
Documented attendance at company internal or external workshop, seminar or course on environmental auditing, EMS, ISO 14000 standards and other relevant topics (other relevant topics needs to be defined).	unlimited	Letter/documentation from sponsoring organization indicating attendance.
Documented attendance and completion of an accredited environmental auditing course.	unlimited	Copy of certificate of completion.
Participated as an instructor of an accredited environmental auditing course.	Same course only considered once during 3 yr period	Letter/documentation form sponsoring organization.
Participation in graduate education.	unlimited	Transcripts
Participation in university short courses on relevant topics.	unlimited	Copy of certificate of completion.
Participation as an in instructor for University/College continuing education courses in relevant subject areas.	Same course only considered once during 3 yr period	Letter/documentation from institution.
New (original) certification in an area related to	10 hours	Copy of certificate.

environmental auditing.		
Maintenance of professional designation in area related to environmental auditing.	5 hours	Documentation of maintenance requirement fulfillment from certification body.
Documented attendance at a conference on relevant subject matter.	unlimited	Documentation of attendance and relevance of subject matter.
Participation in CECAB committees, Board of Directors and Executive.	unlimited	CECAB Documentation.
Volunteer as exam grader or panel reviewer for auditor applications.	unlimited	CECAB Documentation.
Preparing and Presenting papers at conferences on relevant subject matter.	10 hours	Conference program.
Preparing and Publishing articles.	5 hours	Article showing authorship and table of contents of publication.

In addition to the above activities, CECAB will consider additional activities if the Auditor can demonstrate that the activities have relevance in developing skills and knowledge in the appropriate subject areas.

Annual hours permitted for attendance/participation at conferences and workshops will be limited to attendance at the actual event. For example, attendance at the Annual CECAB Conference would be calculated at eight hours per day attended.

While CECAB makes an effort to contact individuals whose five-year certification periods are coming to a close, it is the responsibility of the certified member to keep their designation in good standing by submitting all required recertification information to CECAB in a timely manner. In some cases, an extension of the certification period may be granted if there are special circumstances.

Frequently asked Questions - Recertification

How do I move from EMS(A) to EMS(LA)?
CECAB treats EMS(A) and EMS(LA) applications separately and there is no formal graduation process. However, all EMS(A) certified members already have an account on the CECAB website. By signing in to www.cecab.org, EMS(A) members can apply for the EMS(LA) designation, provided that they have accrued the necessary audit experience for an EMS(LA) as is defined in this document. In this way, an EMS(A) member can build on information that's already on record.

How to Contact CECAB Staff

Should you require any assistance while in the application process, or have questions after becoming certified, please feel free to contact CECAB at any time via email (audit@cecab.org) or phone (403-233-7484).