

AAC Application Guidance for Certified Health and Safety Management System Auditors

The AAC Application Guidance for Certified Health and Safety Management System Auditors (CHSMSA) is to be used by applicants to assist in the completion of the AAC Application for Certified Health and Safety Management System Auditors.

The AAC Application Guidance for Health and Safety Management System Auditors consists of three sections.

A: General CHSMSA Program Information

B: Guidelines for Completing the AAC Application for Certified Health and Safety Management System Auditors

C: AAC Body of Skills and Knowledge (BOSK) for Certified Health and Safety Management System Auditors

A: General CHSMSA Program Information

Introduction

To qualify for certification as a Certified Health and Safety Management System Auditor, a candidate must satisfy basic requirements in the areas of education, formal training, work experience, on-the-job training (Health and Safety Management System auditing experience) and personal attributes.

All AAC-certified CHSMSA must maintain their skills through ongoing auditing experience and professional development. Auditors granted certification are recognized as competent to perform audits.

References

The following standards are to be used as references for this Application Guidance. At the time of this publication, the editions indicated were valid. Changes incorporated into future editions of these standards will be evaluated for their effect on the programs.

ISO 19011:2002 - Guidelines for quality and/or environmental management systems auditing

OHSAS 18001:1999 - Amendment 1:2002 Occupational health and safety management systems - Specification

OHSAS 18002:2000 - Amendment 1:2002 Occupational health and safety management systems — Guidelines for the implementation of OHSAS 18001

Application Fees

Details of the application fees for the CHSMSA program are available from AAC or from the FEE Schedule as posted on the AAC website .

Payment of the non-refundable application fee must accompany the completed application. Applications received without full payment will not be considered.

Evaluation Of Applications

The application form must be completed in full, including evidence of education and any other documentation required. AAC reserves the right to reject incomplete applications, therefore, please read the requirements in this document carefully to ensure that they are met prior to submitting the application.

1. Upon submission of an applicant's information, AAC will assign the applicant a unique applicant number to be used for reference and confidentiality purposes. This number will appear on all AAC documentation relating to the applicant and, once assigned, is to be used by the applicant on all documentation submitted to AAC.
2. AAC will review the application form for completeness and verify each applicant's qualifications through objective evidence from the applicant and from other sources. AAC will evaluate each applicant's qualifications for conformance with AAC's Qualification Criteria for Certified Health and Safety Management System Auditors as per the *the Guidelines for Completing the AAC CHSMSA Application* included with this package. Incomplete applications will not be processed until such time as the applicant has provided the requested information.

A: General Information for the AAC Certified Health and Safety Management System Auditor Program

3. AAC's Registrar will review and verify the application form and accompanying materials for completeness and adherence to the qualification criteria. Complete applications may be forwarded to the Application Review Panel which will review the applicant's auditing experience and will decide the applicant's eligibility to proceed to the written examination process as described below. Applicants will be notified following the decision of the Application Review Panel of their eligibility to proceed to the examination phase of the certification process.
4. In the event that an applicant is not recommended to proceed to the written examination process, the AAC Registrar will notify the applicant. In the case where an application has not been approved due to insufficient audit experience, applicants will be given a maximum of two years from the application date to submit objective evidence of the required level of audit experience in order for their application to be considered further. After the two year period has elapsed, applicants will be required to re-apply for certification.

Written Examination Process

All eligible applicants will be required to write an examination to provide additional evidence and substantiate that they satisfy AAC's Qualification Criteria for Certified Health and Safety Management System Auditors. The written examination is based, in part, on AAC's Body of Skills and Knowledge (BOSK) for Certified Health and Safety Management System Auditors. The CHSMSA BOSK is not included as part of this document, but is available from the AAC website (see Section C for further information).

Examination Time And Location

Eligible applicants will be notified by the AAC Registrar following the decision of the Application Review Panel of their eligibility to write the CHSMSA examination.

The date and location of the examination will be set by mutual consent of the AAC Registrar and the applicant following notification of exam eligibility. Applicants will be sent an Examination Confirmation Notice at least one week prior to the examination date confirming the exact time, location and proctor for their exam writing session. All applicants must confirm their attendance at the specified written examination session with the AAC Registrar at least 72 hours prior to the examination date.

Successful applicants will receive written notification of their examination results, and their certificates, if applicable following the completion of the written examination grading process. Successful applicants will be published on the next AAC Registry publication date.

Applicants who do not receive a passing grade on their written examination will receive written notification from the AAC Registrar following the completion of the written examination evaluation process. Applicants may appeal the decision by filing a written Notice of Appeal with the AAC Registrar within 30 days of notification of the decision. Alternatively, an applicant may re-apply for certification.

Maintaining Certification

To maintain certification, each CHSMSA must maintain skills through ongoing audit experience, participation in auditing activities, and continuing professional development. All CHSMSA must maintain an Audit Log in order to demonstrate that their auditing experience was gained under the prescribed conditions and within the required time frame. It is the auditor's responsibility to see that his or her certification remains current.

By every fifth anniversary of the initial certification date, CHSMSA must submit an application for re-certification. For full details on the re-certification process, please contact the AAC Registrar regarding the CHSMSA Re-certification Procedure.

A: General Information for the AAC Certified Health and Safety Management System Auditor Program

Complaints

AAC has instituted a disciplinary process to address complaints against the actions or conduct of a certified auditor. All complaints against a certified auditor will be reviewed and investigated by AAC using documented procedures. A substantiated complaint may result in cancellation of certification.

Appeals Process

An applicant who fails either the review or the written examination may appeal the decision by filing a written Notice of Appeal with the AAC Registrar, along with the appeal fee ([Fee Schedule](#)) within 30 days of the date of notification of the decision. The notice must include all relevant facts needed to substantiate the appeal.

No new evidence may be presented in the filing the Notice of Appeal. AAC will review all of the materials submitted by the appellant, including documentation previously submitted by the applicant in the certification process, or prepared by the Board of Examiners in evaluating the applicant's written examination, that may be relevant to the appeal (the "Appeal Record").

NOTE: Notwithstanding the above, AAC reserves the right to request additional material from the applicant during its review of the Appeal Record and to extend the time frame for making its decision accordingly.

AAC (or its designate) will make a decision about the applicant's appeal and notify the applicant in writing of its decision within sixty days of receipt of the Notice of Appeal (subject to the NOTE above). The appeal decision will be made by individuals who have no conflict of interest with respect to the applicant, in accordance with AAC's conflict of interest guidelines.

The decision rendered by the AAC Appeals Panel will be final. Applicants whose appeals are successful will be refunded the appeal fee plus GST. Applicants whose appeals are unsuccessful may re-apply for certification..

Auditor File

AAC maintains a file on all current applicants and CHSMSA's. The file includes the original application, copies of audit logs, and records of complaints against the auditor and the investigations of those complaints, records of appeals, and all information pertaining to maintenance of the certification. The contents of these files are confidential and can only be accessed by the candidate or authorized AAC personnel. The AAC has procedures in place for maintaining the confidentiality of auditor and candidate file records. AAC will release the contents of an auditor's file only upon the express written consent of the auditor.

B: Guidelines for Completing the AAC Application for CHSMSA

B: Guidelines for Completing the AAC Application for Certified Health and Safety Management System Auditors

This section includes the AAC Qualification Criteria for Certified Health and Safety Management System Auditors.

NOTE: The criteria and related interpretative guidance items will be reviewed by AAC periodically, and are therefore subject to amendment from time to time.

Applicants must provide objective evidence of their education, work experience and training, and personal references that can attest to their personal attributes and skills. Please refer to the Qualification Criteria in the tables below for further details.

Type or clearly print all information required on the application form. The application may be submitted to the AAC in hardcopy format by courier or regular mail to the address provided on Page 1 of the application form. The application may also be submitted electronically via email. Refer to Application Section 7 for special instructions if the application is submitted electronically.

Application Section 1: General Information

Complete the text boxes as provided on the application. If the name you wish to appear on any certificate is different than the first and last names provided in this section of the application, then provide the name in the space allotted.

Provide your company's name and address information. Be sure to include an email address. You may use your own address in lieu of a company's address.

Application Section 2: Education

Criterion	Applicant auditors shall: <ul style="list-style-type: none">• possess a relevant degree; or• possess a degree other than a relevant degree; or• possess a relevant diploma from a post-secondary community college or equivalent; or,• have completed secondary school education.
Guidance	"Degree" means a recognized Canadian or international degree, awarded by a recognized degree-awarding institution, and normally obtained after secondary education, through a minimum of three years formal full-time or equivalent part-time study. "Relevant degree" is a bachelor level (or higher) degree, in one of the following areas: <ul style="list-style-type: none">• engineering• environment• science• health and safety technology• law• business administration• industrial hygiene• accounting. Community college level or equivalent would include Technical College or CEGEP (Québec). Secondary education is that which is completed to the level immediately prior to entrance to a university or similar degree-awarding establishment.

B: Guidelines for Completing the AAC Application for CHSMSA

	<p>A qualification such as a technologist diploma from an approved community or technical college may be recognized by AAC as equivalent to a degree other than a relevant one for the purpose of determining the requirement for appropriate work experience. Technician/technologist diplomas typically involve completion of two to three years and over 2000 hours of formal, accredited academic training,</p> <p>Canadian Certified Engineering Technologist (CET) and Applied Science Technologist (AScT) are examples of acceptable technologist diplomas that may also be relevant in evaluating the equivalency of other diploma credentials with non-relevant three-year baccalaureate degrees.</p>
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Application Section 3: Formal Training

<p>Criterion</p>	<p>(a) Completed at least 20 hours of auditor training that contributes to the development of knowledge and skills in the following areas:</p> <ul style="list-style-type: none"> • audit principles, procedures and techniques as specified in ISO 19011 <p>AND</p> <p>(b) Completed at least 20 hours of training in:</p> <ul style="list-style-type: none"> • health and safety management systems and standards against which audits may be performed including OHSAS 18001, CSA Z1000 or ANSI Z10 • health and safety methods and technology • relevant requirements of health and safety laws, regulations and related documents • technical and Health and Safety aspects of various types of business activities and facility operations
<p>Guidance</p>	<p>Formal training courses are not required to be SCC-accredited or to follow AAC'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.</p> <p>Acting as an instructor in training courses on topics specified in this criterion may also be accepted as fully or partially satisfying this criterion.</p> <p>An OHSAS 18001 Lead Auditor course of 40 hours duration satisfies both components of the Formal Training criterion..</p>

Instructions for completing Section 3: Formal Training

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.

Contact Person: Provide means by which information can be verified, i.e. provide contact information for an instructor or training supervisor.

Date Course Attended (from - to): List your relevant formal training in chronological order beginning with your most recent training.

B: Guidelines for Completing the AAC Application for CHSMSA

Course Length in hours: Indicate the course length in hours.

Application Section 4: Work Experience

Criterion	Applicants who have completed secondary school education should have a minimum of five years of work experience. Applicants with appropriate post-secondary education should have the amount of work experience indicated below, including at least two years in the Health and Safety management field.	
	The work experience should contribute to the development of knowledge and skills in some, or all, of the following areas	
	<ul style="list-style-type: none"> • Health and safety management systems and standards • Health and safety technology • Relevant requirements of health and safety laws, regulations and related documents • Technical and health and safety aspects of facility operations • Audit procedures, processes and techniques • Hazard identification, hazard management 	
	Educational Background	Minimum number of years of appropriate Health and Safety work experience
	Secondary School Education	5 years
Non-Relevant Bachelor's Degree or College Diploma	4 years	
Relevant Bachelor's Degree or Non-Relevant Master's Degree	3 years	
Relevant Master's Degree (or higher)	2 years	
Guidance	<p>Post secondary school education is the completion of an educational level beyond secondary school. Completion is verified by the granting of a university degree at the bachelor level or higher or a college diploma.</p> <p>Relevant post-secondary education is completion of a degree or diploma in fields as listed in Section 2 below.</p> <p>The two years in the Health and Safety Management field require that the applicant have been involved with Health and Safety management systems and standards.</p> <p>The number of years of work experience need not be consecutive years.</p>	

Instructions for completing Section 4: Work Experience

Name and contact information of employer, position held, duties and responsibilities, and other relevant information for each significant assignment. Provide clear, concise and specific details for work experience submitted. Include industry sector. In the description of duties and responsibilities include information of the nature such as whether you were an audit team member, audit leader, project manager, etc.

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.

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.

Application Section 5: Audit Logs for Audit Experience

<p>Criterion</p>	<p>A minimum of seven complete audits for a total of at least thirty-five days of management system auditing. All audit experience submitted for the purpose of meeting the criterion shall have been completed within the three consecutive years prior to the date of application.</p> <p>The overall audit experience shall have been completed within the following entire management system standards: OHSAS 18001, CSA Z1000 or ANSI Z10, or a similar management system according to AAC's equivalency criteria.</p> <p>The overall audit experience requires the applicant to have audited, on at least one of the audits submitted, on an audit team which has audited all elements of a Health and Safety management system.</p> <p>Off-site activities, such as planning, document review, and preparation of the audit report are limited to one day of every five days of audit experience recorded.</p> <p>(NOTE: The audit activities as described in ISO 19011, 6.2 to 6.7 form the basis of an applicants audit experience evaluation. The AAC maintains an equivalency program whereby audits conducted in accordance with a standard other than ISO 19011 may be deemed, upon detailed review by AAC, to be consistent with ISO 19011, 6.2 to 6.7 and are thus accepted by the AAC in place of audit experience in accordance with ISO 19011.)</p>
<p>Guidance</p>	<p><u>H+S MS Auditing Experience</u></p> <p>The audit experience submitted must also provide, in total over the experience, the following:</p> <ul style="list-style-type: none"> • The required auditing experience for CHSMSA shall be gained at a minimum of three different operating organizations or business units. • A complete audit is an audit covering all of the steps described in (ISO 19011) 6.3 to 6.6. • It is not required that the applicant has audited every element of a management system standard, but that the applicant has audited on (a) team(s) which has (have) audited an entire management system standard. • Auditing on-site includes the opening and closing meetings and the audit execution phase, but excludes document review (in accordance with ISO 19011 Clause 6.3), planning (in accordance with ISO 19011 Clause 6.4), and preparation of the audit report (in accordance with ISO 19011 Clause 6.6), even if these functions are performed on the premises of the auditee. <p><u>H+S MS Auditing Experience Requirements</u></p> <p>To be acceptable for Health and Safety auditing experience in this program, an "audit" must meet the following criteria:</p> <ul style="list-style-type: none"> • Each audit must be an independent audit. (See also ISO 19011, 3.1 and 4(d), for guidance on the interpretation of "independent"). • 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 OHSAS 18001 or CSA Z1000 or ANSI Z10

B: Guidelines for Completing the AAC Application for CHSMSA

	<ul style="list-style-type: none">• Health and Safety management system audits means audits as defined in ISO 19011, which is 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”• All audits must be for the purposes of determining conformity, not combined with advice such as an action plan for developing/improving the health and safety management system.• Audits must be verifiable through the auditee. If a contact person’s name and telephone number at the company audited cannot be provided, that audit will not be considered in the certification process.• Experience in other types of auditing and in Health and Safety investigations and assessments that do not meet the management system audit definition will not be recognized for the purposes of this criterion.• Providing legal, financial, business or consulting advice based on a review of completed health and safety management system audit reports does not represent health and safety management system auditing under this criterion.
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Instructions for completing Section 5: Audit Logs for audit experience section:

Copy the Audit Log as required to meet the minimum number of audits. Note that an equivalent audit day is 6 hours in length.

Audit Number: Number each audit submitted sequentially.

First Date of Site Visit: Provide the date of the opening meeting.

Number of Audit Days – Total: Total amount of time engaged in audit activity, including on-site time and off-site time. Off-site time is any time spent on preparation, documentation, report writing, etc. This activity may take place at the site of the audit or off location, but is still considered off-site time.

Number of Audit Days – On-site: Total time spent on the actual audit only, from the opening to the closing meeting.

Audit Criteria: Indicate the audit criteria used, if “Other”, specify the criteria used.

Audit Process: Indicate the audit process used, if “Other”, specify the process used.

Your role in the audit: Indicate your role in the audit conducted.

Your involvement in the audit process: Indicate your involvement in the audit process of the audit conducted.

Relevant details about the audit: Provide details about the audit including name of organization audited, type of facility, industry sector, and name of organization conducting the audit if different from your employer.

Verification contact details: Provide the name and contact details for verification of your participation in the audit. This person can be the audit program manager, the audit team leader, another auditor on the team, or the auditee. A phone number is required and an email address should be provided. The applicant may not provide verification for their own audit experience. Include verification signature if possible. The printed name should accompany the signature.

Description of Audit: Describe in detail the nature of the audit. **Provide details on which aspects of the audit process in which you were involved. If possible, reference the audit process as described in ISO 19011 6.2 to 6.6). Provide as much detail as is necessary to accurately portray your audit experience. It is the applicant’s responsibility to provide sufficient detail regarding each audit listed to allow the Application Review Panel to evaluate the applicant’s audit experience.**

B: Guidelines for Completing the AAC Application for CHSMSA

Application Section 6: Auditor Reference Form

<p>Criteria:</p>	<p>(i) Auditors should possess personal attributes and skills that include, but are not limited to, the following:</p> <ul style="list-style-type: none">a) ethical, i.e. fair, truthful, sincere, honest and discreet and to demonstrate adherence to the AAC Code of Ethicsb) open-minded, i.e. willing to consider alternative ideas or points of viewc) diplomatic, i.e. tactful in dealing with peopled) observant, i.e. actively aware of physical surroundings and activitiese) perceptive, i.e. instinctively aware of and able to understand situationsf) versatile, i.e. adjusts readily to different situationsg) tenacious, i.e. persistent, focused on achieving objectivesh) decisive, i.e. reaches timely conclusions based on logical reasoning and analysisi) self-reliant, i.e. acts and functions independently while interacting effectively with othersj) is able to clearly express concepts and ideas, orally and in writingk) reacts with sensitivity to local issues, concerns and culturel) demonstrate an appropriate level of knowledge about the facility/company operations to facilitate an effective auditm) is able to arrive at generally acceptable conclusions based on an appropriate depth and objectivity of audit evidencen) demonstrates an understanding of audit process, and clearly explains the process to affected auditeeso) demonstrates an understanding of Health and Safety Management Systems <p>ii) Applicant auditors shall demonstrate a thorough knowledge and understanding of, and commit to adhere to AAC's Code of Ethics, as shown below.</p> <p><u>AAC Code of Ethics</u></p> <p>Each AAC member shall endeavour to:</p> <ul style="list-style-type: none">A. be honest and candid and perform professional services with integrity and due careB. be competent, having the required skills, knowledge, and experience to perform the services undertakenC. continually seek to maintain and improve professional knowledge and skillsD. serve the client in a conscientious, diligent, and efficient mannerE. hold in strict confidence, except as required by law, all information concerning the business and affairs of the client acquired in the course of the professional relationship, and not use this information for personal gainF. remain free of any influence, interest, or relationship that impairs professional judgement, independence, or objectivity, while providing professional servicesG. commit to honest, thorough, and straightforward communication in the performance of professional dutiesH. not be associated with any report, statement, or representation known to be false or misleadingI. conduct him- or herself toward other professional auditors with courtesy and good faithJ. enhance the public regard for the profession at all times.
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References must be provided by two referees willing to support your application by substantiating your personal attributes and skills, and who can attest to the quality of your work. For example, one referee might be your audit program manager and the other might be a similar person, preferably in an organization for which you have conducted audits (e.g., a client). The referee should have known the applicant, in a professional capacity for a period of at least two years.

B: Guidelines for Completing the AAC Application for CHSMSA

The form should be completed by the referee and must contain the referees signature.

The forms may be returned by either the applicant, submitted with the application form itself, or directly to the AAC by the referee.

It is the responsibility of the applicant to ensure that the referee has completed the form fully. Incomplete forms will be returned to applicants.

Application Section 7: Applicant's Acknowledgement, Release and Indemnity

Please read the section fully. A signature is required for the application to be considered complete. An original signature is required for applications submitted by courier, mail or by fax. Where the application is submitted in electronic format, either a facsimile of the signature must be inserted into the application or the entire Page 6 of the application, with signature, must be forwarded to the AAC by courier, mail or fax.

C: AAC Body of Skills and Knowledge (BOSK) for CHSMSA

C: AAC Body of Skills and Knowledge (BOSK) for Certified Health and Safety Management System Auditors

Document - 268E.01 AAC Body of Skills and Knowledge for Certified Health and Safety Management System Auditors - is available as a separate document from AAC.

The BOSK may be downloaded from the AAC website.