



**Exemplar**  
Global

# Certification Requirements

Competency-based

Environmental Management

Systems (EMS) Certification

Program

Exemplar Global is accredited by the Joint Accreditation System of Australia and New Zealand (JAS-ANZ) as meeting the requirements of the International Standard for Personnel Certification Bodies, ISO/IEC 17024:2012 '*General requirements for bodies operating the certification of persons*'.



This program is covered under Exemplar Global's scope of accreditation with JAS-ANZ.

Disclaimer

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## Introduction

The **Competency-Based (CB) Environment Management System (EMS) Auditor Certification Program** has been developed by Exemplar Global in liaison with industry representatives.

The program provides international recognition for auditors who conduct environmental management system audits using national or international management system standards, or other management system standards and normative and industry references that are recognized by Exemplar Global.

Confidence and reliance in the audit process depends on the competence of personnel conducting the audit.

This personnel certification program has been developed to meet the following key objectives:

- To achieve the requirements of the International Standard for personnel certification ISO/IEC 17024:2012;
- To ensure that auditors meet or exceed the qualification guidelines for management system auditors described in ISO 19011:2011 and ISO 14001:2015 and are assessed as competent to perform environmental management system audits;
- To assist organizations in selecting competent auditors; and
- To enhance the professional recognition of qualified auditors.

Auditors who wish to become certified by Exemplar Global should review this document and the [Personnel Certification Guide](#) to better understand the certification requirements prior to applying for certification.

If you have any remaining questions regarding personnel certification, please contact an examiner in: your region's Principal Office. Exemplar Global Principal offices are located in:

<b>Milwaukee, USA</b>	<b>Seoul, South Korea</b>	<b>Sydney, Australia</b>
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## Grades of Certification

There are five grades of EMS Auditor certification:

- Provisional EMS Auditor
- EMS Auditor
- Principal EMS Auditor
- Lead EMS Auditor
- Business Improvement EMS Auditor

**The Provisional Auditor** grade recognizes that an applicant has demonstrated the knowledge-based auditing competence required, but has not yet demonstrated the ability to conduct EMS audits.

**The Auditor** grade recognizes that an applicant has demonstrated the competencies to conduct an EMS audit and perform as a member of an audit team.

**The Principal Auditor** grade recognizes that an applicant has demonstrated the competencies to conduct an EMS audit and perform either alone or as a member of an audit team.

**The Lead Auditor** grade recognizes that an applicant has demonstrated the competencies to conduct an EMS audit and can lead an audit team.

**The Business Improvement Auditor** grade recognizes that an applicant has demonstrated Lead Auditor competence and has knowledge of the application and benefits of business improvement and risk management tools.

## Scopes of Certification

There are 10 scopes under EMS Auditor certification. These scopes are in addition to the certification requirements shown within this document.

Applicants to the EMS Auditor program should decide on which scopes are appropriate based on each applicant's individual certification needs and must demonstrate the requirements defined for each scope. It is possible for an applicant to be awarded more than one scope.

*Scopes do not apply to the Provisional Auditor grade.*

SCOPE	DEFINITION	REQUIRED EVIDENCE
<b>1. Environmental Management Audit*</b>	Systematic and documented verification process to determine conformity of an organization's management of environmental issues (associated with physical installations, operational processes and/or procedures, and other operational aspects) to the audit criteria and scope.	Ten audit days, examples: <ul style="list-style-type: none"> <li>• Audit of environmental management process (where the system does not cover all clauses of ISO 14001:2004)</li> <li>• Audit of facility or processes pre-acquisition</li> <li>• Environmental due diligence</li> <li>• Baseline audit of facility or process for environmental impact assessment or consulting work.</li> </ul>
<b>2. Environmental Management System (EMS) Audit</b>	First, second, or third party audit against the specific requirements of an EMS standard that incorporates all clauses of ISO 14001:2004.	Sixteen audit days using ISO 14001:2004 as the reference standard.
<b>3a. Site Contamination Assessment* - Phase 1 Audit</b>	Systematic and documented identification, evaluation, or confirmation of the existence or otherwise of contamination on or emanating from a site.	Phase 1 audits - Preliminary Site Investigation - 10 audit days - Identification of all past and present potentially contaminating activities, reporting on the site condition, providing a preliminary assessment of the site contamination and recommendation on further investigations.

## Scopes of Certification

Scopes do not apply to the Provisional auditor grade.

\*This scope is not included in Exemplar Global's scope of accreditation.

SCOPE	DEFINITION	REQUIRED EVIDENCE
<b>3b. Site Contamination Assessment* - Phase 2 Audit</b>	Systematic and documented identification, evaluation, or confirmation of the existence or otherwise of contamination on or emanating from a site.	Phase 2 audits - Detailed Site Investigation - 10 audit days - Addressing issues raised in the preliminary investigation, defining the extent and degree of contamination, assessing potential effects posed by contaminants to human health and the eco-systems and obtaining sufficient information to allow decisions on remediation options.
<b>3c. Site Contamination Assessment* - Phase 3 Audit</b>	Systematic and documented identification, evaluation, or confirmation of the existence or otherwise of contamination on or emanating from a site.	Phase 3 audits - Validating Site Remediation - 10 audit days - Setting remediation goals, determining the remediation strategy, obtaining the necessary approvals, undertaking remediation and validating that it has been achieved.
<b>4. Environmental Report Verification*</b>	Establishing environmental performance data through examining the company's internal data gathering systems and controls, for public or other reporting.	Three data compilations over at least a 12-month period.
<b>5. Compliance Audit*</b>	Determining the extent of compliance with existing legislation, permits, and/or codes applicable to operations and procedures.	Ten audit days using a compliance standard.

## Scopes of Certification

Scopes do not apply to the Provisional Auditor grade.

SCOPE	DEFINITION	REQUIRED EVIDENCE
<b>6. Waste Auditing*</b>	Formalized, structured process undertaken to quantify the amounts and types of waste generated and to identify waste management procedures and practices.	Waste audit training course including the following minimum learning objectives: <ul style="list-style-type: none"> <li>• Understand industry standards and guidelines in relation to handling, containment and management of waste</li> <li>• Understand waste auditing methods and techniques</li> <li>• Understand how to identify, isolate, sort, measure, and record waste streams, including identification of unanticipated waste</li> <li>• Understand the aspects of production, services, processes, and operations that may give rise to waste and opportunities to manage those wastes according to waste management hierarchy</li> <li>• Understand how to identify and assess the significance of other issues that may impact on waste generation and management</li> <li>• Understand the relevant environmental, political, and economic contexts of waste management.</li> </ul>



## Scopes of Certification

Scopes do not apply to the Provisional Auditor grade.

SCOPE	DEFINITION	REQUIRED EVIDENCE
<b>7. Certified Wind Farms Australia (CWFA) Auditor*</b>	Systematic and documented verification process for measuring conformity with the environmental amenity and stakeholder consultation aspects of Wind Industry Best Practice.	Successful completion of the Exemplar Global-CWFA e-based examination; and either: <ul style="list-style-type: none"> <li>Evidence of a biodiversity, planning or environmental degree or</li> <li>At least two years experience in a senior management role in wind farm planning, development, construction, or operations.</li> </ul>
<b>8. ISO 14001:2015 Environmental Management System (EMS) Audit**</b>	First, second or third party audit against the specific requirements of an EMS standard that incorporates all clauses of ISO 14001:2015.	Sixteen audit days using ISO 14001:2015 as the reference standard.

\*Scope is not included in Exemplar Global's scope of accreditation.

\*\*Scope will be replaced with the ISO 14001:2015 Audit scope after September 1 2018. Auditors holding the current ISO 14001:2015 Audit scope must complete the transition requirements found on [page 17](#).

## Knowledge Requirements

Applicants for each grade of EMS Auditor certification must provide evidence of knowledge competency defined in the following TPECS competency units:

### **All EMS Grades:**

Management System Auditing (Exemplar Global-AU)

Auditing Environmental Management Systems (Exemplar Global-EM\*)

In addition to the competency units listed above, evidence of knowledge competency defined in the following TPECS competency units are also required for Lead and Business Improvement grades:

### **Lead EMS Auditor:**

Leading Management System Audit Teams (Exemplar Global-TL)

### **Business Improvement EMS Auditor:**

Leading Management System Audit Teams (Exemplar Global-TL)

Advising on Organizational Improvement and Risk Management (Exemplar Global-OI)

*(A Diploma in Business Administration can be submitted or the Exemplar Global-OI matrix can be filled out for this competency unit).*

## **EVIDENCE OF KNOWLEDGE-BASED COMPETENCY**

### **All EMS Auditor Grades:**

A certificate/s of attainment for the above competency units from a certified TPECS or TCC training provider issued within the three years prior to application is required. Applicants whose certificate is older than three years will be required to complete an e-based knowledge examination/s to demonstrate current knowledge.

Refer to the [Personnel Certification Guide](#) for details on knowledge examinations, TPECS, and TCC training providers and other certified training courses recognized by Exemplar Global. A register of certified training providers is available at [www.exemplarglobal.org](http://www.exemplarglobal.org).

\*Applicants who obtained a certificate of attainment for the Exemplar Global-EM competency unit to the ISO 14001:2004 standard, or an ISO 14001:2014 EMS Auditor or Lead Auditor course, must also successfully complete the Exemplar Global College ISO 14001:2015 Transition Assessment or equivalent by September 1 2018. Please refer to the transition section of this document for details.

## Qualification Requirements

Applicants for EMS Auditor certification (except the Provisional Auditor grade) must provide evidence of qualifications defined by Exemplar Global in the following categories:

### **EVIDENCE OF EDUCATION:**

Applicants must have completed tertiary education or national equivalent. Examples include a university degree, college diploma, and advanced certificate (Australian Certificate IV).

### **EVIDENCE OF WORK EXPERIENCE:**

Applicants must provide evidence of at least two years work experience obtained in the four years prior to application in a technical or managerial position with direct environmental management responsibilities.

### **Evidence of work experience must be verifiable and include:**

- Employer (including contact details);
- Dates of employment; and
- Roles, responsibilities (job description), and achievements.

### **ACCEPTABLE FORMS OF EVIDENCE:**

Acceptable evidence of education and work experience will be in the form of a copy of the applicant's educational certificate and/or degree and a work resume or curriculum vitae. This documentation is submitted with the application.

## Work Style Assessment for Auditors

All applicants—except the Provisional Auditor grade—are required to complete the Work Style Assessment self-coaching tool as part of the certification process.

The Work Style Assessment is a sophisticated career and self-coaching development tool that empowers auditors through self-awareness. The assessment provides insight into your individual strengths as an auditor, coaching and managing considerations that benefit your auditing career, and areas to consider for professional development.

[Click here](#) for more information about the Work Style Assessment.

The Work Style Assessment provides evidence that you possess the appropriate work values, style, and attitude attributes related to those defined in ISO 19011:2011 “Guidelines for auditing management systems.” These include:

- The degree to which you are competitive and take charge
- The degree to which you are focused on achieving challenging goals
- The degree to which you are calm and even tempered
- The degree to which you desire and are comfortable with social interaction
- The degree to which you are sensitive to the feelings of others and are empathetic
- The degree to which you are detail focused, organized, and methodical
- The degree to which you are curious, imaginative, and open to new ideas

Details on how to complete the Work Style Assessment will be provided to you when Exemplar Global receives your application.

You can take the Work Style Assessment online on your computer or smartphone.

The assessment takes approximately 15 minutes to complete, however there is no time limit.

You will be asked to answer a series of questions based on your first impression. There are no right or wrong answers and there is no pass or fail. It’s all about understanding yourself better.

Responses are automatically processed by our partner and a PDF report will be emailed to you within one hour of completing the survey.

If you have completed the Work Style Assessment within the four years prior to application, further assessment is not required. Applicants are required to include the details of the previous assessment on their application form.

## Examination of Skill

Applicants for EMS Auditor certification (except the Provisional Auditor grade) must provide evidence of the skill competency defined by Exemplar Global. Competency is to be demonstrated under auditing (on site) conditions during a conformity audit. The skill examination must be conducted by a certified EMS skill examiner.

### **THE FOLLOWING COMPETENCIES ARE REQUIRED TO BE DEMONSTRATED:**

#### **All Auditor Grades:**

- Implement an audit;
- Maintain communication during audit;
- Collect and verify information;
- Conduct interviews;
- Generate audit findings; and
- Prepare audit conclusions.

#### **Principal Auditor:**

*(Important: To obtain Principal Auditor grade, the applicant must perform as a solo auditor or the leader of a team during the skill examination).*

- Conduct the closing meeting.

#### **Lead or Business Improvement Auditor:**

*(Important: To obtain Lead or Business Improvement Auditor grade, the applicant must perform as the leader of a team during the skill examination).*

- Conduct the closing meeting;
- Represent the audit team with audit client and auditee;
- Organize and direct audit team members;
- Provide direction and guidance to team members;
- Lead the audit team to reach audit conclusions; and
- Prevent and resolve conflicts.

It is the responsibility of each applicant to arrange a skill examination. A register of certified skill examiners is available at [www.exemplarglobal.org](http://www.exemplarglobal.org).

The skill examiner submits the completed [Skill Examination Report](#) to Exemplar Global within five days of completing the skill examination.

## Surveillance

To maintain certification all certified auditors are required to demonstrate continuing compliance with the current certification requirements. Exemplar Global will provide electronic reminders with an invoice for the annual installment of your certification fee.

Every two years from the date of initial certification or each recertification, auditors must provide:

### All EMS Auditor Grades:

- Evidence of current knowledge-based competency through successful completion of the relevant e-based surveillance examination for the grade of certification; and
- Confirmation that the [Code of Conduct](#) has been adhered to and any complaints against performance have been resolved.

## Recertification

To maintain certification all certified auditors are required to demonstrate continuing compliance with the current certification requirements. Exemplar Global will provide electronic reminders with an invoice for the annual installment of your certification fee.

Every four years from the date of initial certification or each recertification, auditors must provide:

- Evidence of a completed skill examination by a certified EMS skill examiner;
- Evidence of evaluation of personal attributes by the completion of the Work Style Assessment for Auditors within the previous four years; and
- Confirmation that the [Code of Conduct](#) has been adhered to and any complaints against performance have been resolved.

## Expansion

Certified auditors can apply to expand their grade and/or scope of certification at any time. To apply for an expansion of certification, auditors are required to:

- Complete the online expansion application available through your online portal, accessible through the Exemplar Global website at [www.exemplarglobal.org](http://www.exemplarglobal.org)
- Submit the expansion fee as part of the online application process; and
- Provide evidence of the requirements for the grade and/or scope sought as defined in the certification requirements.

Where an auditor is applying for more than one additional scope in the same application, only one expansion fee is required.

For complete details of fees, refer to the Exemplar Global fee calculator on the Exemplar Global website at [www.exemplarglobal.org](http://www.exemplarglobal.org).



## Transition Requirements for Certified EMS Auditors

To maintain certification all certified auditors must demonstrate transition adequacy to the ISO 14001:2015 standard. All transition requirements must be met within the defined deadlines. Auditors who do not meet the requirements may experience a lapse in certification.

### Knowledge Requirements

All certified EMS auditors must submit evidence of successful completion of the Exemplar Global College ISO 14001:2015 Transition Assessment or IAAR/PECB ISO 14001:2015 Transition Offering and Assessment by September 1 2018.

Alternately, certified auditors can submit evidence of successful completion of ISO 14001:2015 transition training where completed with an accredited certification body by the deadline of September 1 2018.

Exemplar Global will accept a certificate of completion or a copy of training transcripts as evidence of meeting the knowledge requirements.

### Scope Requirements:

All auditors currently holding the Environmental Management System (EMS) Audit scope will be transitioned to the ISO 14001:2015 Audit scope upon providing evidence of meeting the transition knowledge requirements. However, to maintain the scope, evidence of 16 audit days using ISO 14001:2015 as the reference standard must be submitted to Exemplar Global by September 1 2018. *(Auditors who do not currently hold scope 1. Environmental Management Systems (EMS) audit and wish to obtain scope 8. ISO 14001:2015 audit must submit an expansion application and meet the scope requirements stated on [page 9](#).)*

Auditors who do not submit the required audit days will have the scope removed from their certification and must apply for the scope by completing an expansion application. See the expansion section for details.

Audit experience must be recorded on the Exemplar Global [Audit Log](#), also available at <http://exemplarglobal.org/myexemplar/>, in the documents section.

For more information regarding the transition requirements, please contact an Exemplar Global scheme examiner in your region's principal office, or submit an email inquiry to [info@exemplarglobal.org](mailto:info@exemplarglobal.org).