WHAT IS ECO CANADA?

ECO Canada (Environmental Careers Organization) develops programs that help individuals build meaningful environmental careers, provides employers with resources to find and keep the best environmental practitioners, and informs educators and governments of employment trends to ensure the ongoing prosperity of the Canadian environment sector.

The organization offers a suite of resources designed to meet the professional needs of this rapidly growing, including the largest environmental online job board in Canada, certification for environmental practitioners, and a wage-subsidy internship program.

Since 1992, ECO Canada has established itself as the national, industry-initiated and led group for the resolution of the human resource issues faced by the Canadian environment sector.

ECO Canada is one of approximately thirty national sector councils established in 1992 with federal start-up funding to bring employers, workers, educators and governments together to address human resource challenges in Canada. The key objectives of ECO Canada are to:

- Implement national occupational standards for skills and training;
- Promote employment opportunities via a highly-skilled workforce;
- Meet industry’s requirements for qualified new entrants into the labour force;
- Provide labour market projections and information on trends for governments, educators, youth and industry planners;
- Facilitate and develop social/economic alliances between business and labour;
- Improve the dialogue between industry and the academic community; and
- Address the labour market entry problems and school-to-work transition difficulties encountered by youth.

ECO Canada is now an autonomous organization that is directed by the stakeholders it serves. Its mission is:

"To ensure an adequate supply of people with the demonstrated skills and knowledge required to meet the environmental human resource needs of the public and private sectors."
ECO Canada deeply appreciates the work of our National Steering Committee (NS) who guided this study by providing feedback during various stages of the project.

**MEMBERS OF THE NATIONAL STEERING COMMITTEE**

**MEMBERS**

<table>
<thead>
<tr>
<th>Name</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Don Fraser</td>
<td>Auditing Association of Canada (AAC)</td>
</tr>
<tr>
<td>Roy John</td>
<td>Auditor</td>
</tr>
<tr>
<td>Sue Keane</td>
<td>Durden and Keane Consultants Inc.</td>
</tr>
<tr>
<td>Phil Stroesser</td>
<td>Ontario Hydro</td>
</tr>
<tr>
<td>Tony Tarsitano</td>
<td>Integrated Management Solutions (AMS) Ltd.</td>
</tr>
<tr>
<td>Robert Volkman</td>
<td>JEDROC Engineering Services</td>
</tr>
</tbody>
</table>

**EX-OFFICIO MEMBERS**

<table>
<thead>
<tr>
<th>Name</th>
<th>Organization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Barbatus Gatoto</td>
<td>Human Resources and Social Development Canada (HRSDC)</td>
</tr>
<tr>
<td>Grant Trump</td>
<td>ECO Canada</td>
</tr>
</tbody>
</table>
1.0 THE AUDITOR’S NOS

2.0 METHODOLOGY

3.0 MAKING SENSE OF THE NOS

3.1 History of the NOS

3.2 How are the NOS used?

3.3 What the NOS for Auditors Consist of

4.0 THE AUDITOR’S PROFILE

5.0 CONCLUSION

APPENDIX A: NOS FOR AUDITORS

APPENDIX C: OCCUPATIONAL PROFILE FOR AUDITORS

APPENDIX D: ACKNOWLEDGEMENTS
1.0 THE AUDITOR’S NOS

ECO Canada’s National Occupational Standards (NOS) for Environmental Employment is a dictionary of competencies required for the entire spectrum of environmental work. For certain occupations that are not normally characteristic for traditional environmental work, however, it is necessary to develop specific NOS independent from the overall classifications. Environmental Auditing is one such occupation.

PRIMARY OBJECTIVES OF THE 2010 NOS FOR ENVIRONMENTAL AUDITORS

- Creating and validating and NOS Dictionary for the occupation;
- Compiling an occupational profile for Auditors reflective of the complexity of work involved;

With aid from the Canadian Auditing Association (CAA), ECO Canada engaged in consultation with many Auditors across Canada of varying levels of experience to achieve the 2010 objectives.

TYPES OF CONSULTATIONS INCLUDED

1. The formation of an Auditor’s Subcommittee to guide the direction of the project;
2. Initial consultation with senior advisors for the purpose of drafting a dictionary;
3. A national online survey giving Auditors a chance to review competencies and rate their relative importance;
4. Online and onsite focus sessions to discuss and validate the NOS and other outcomes of the survey.

Using rigorous methodology that is designed to engage practitioner input at every stage of the development process, the 2010 NOS for Environmental Auditors has been created. Other major developments include a combined occupational profile for both Compliance and EMS Auditors.
2.0 METHODOLOGY

Creating National Occupational Standards (NOS) for Environmental Auditors requires methodology that is thorough and trusted. Specifically designed to engage practitioner input at every step of the process, ECO Canada’s methodology is as follows:

DEFINE THE OCCUPATIONAL SCOPE

The scope of Environmental Auditing as a specific occupation is defined in terms of number and levels by engaging in extensive consultation with senior advisors possessing 10 or more years of experience. This stage of the process is supplemented by extensive secondary research centred on competency and standards (i.e. examination of any relevant ISO, CSA and BOSK documents, among other literature).

SKILL SET DOCUMENTATION

Using secondary research and practitioner consultation, skills, competencies and knowledge requirements for the Environmental Auditing profession is developed. This phase is enhanced by an NOS Development Session in which practitioners brainstorm what is required for their work. The output of this stage of development is a draft competency-based NOS.

SKILL SET FOCUS GROUPS AND OCCUPATIONAL SURVEY

The draft NOS Dictionary is refined and validated through national focus groups consisting of practitioners varying in experience and expertise. Following analysis of focus group data, a national occupational survey is conducted where practitioners are asked to rate competencies in order of importance and relevance to their area(s) of expertise.

OCCUPATIONAL ANALYSIS

Statistical analysis of survey data will be conducted to produce a preliminary NOS Dictionary and an occupational profile for Environmental Auditing.

VALIDATION OF STANDARDS

Survey results are validated in a second round of national focus groups, producing a final NOS Dictionary for Environmental Auditors.
3.0 MAKING SENSE OF THE NOS

ECO Canada's National Occupational Standards (NOS) are created in complete collaboration with industry professionals. They illustrate the skills, knowledge and abilities required to perform environmental work, such as Greenhouse Gas.

3.1 HISTORY OF THE NOS

Foundational for ECO Canada, and indeed all sector councils, are industry definitions and National Occupational Standards (NOS). Simply put, occupational standards express the skills and knowledge an individual must exhibit in order to be considered competent in their occupation (in this case, Environmental Auditing). Competency implies having an adequate level of skills and knowledge to perform safely and properly. Occupational standards are the foundation of all ECO Canada's project work.

As already mentioned, the NOS for Environmental Auditors is only one of many competency-based initiatives that ECO Canada has undergone. In addition to occupation-specific projects such as this for Auditors, ECO Canada's primary competency dictionary is the NOS for Environmental Employment. The Environmental Employment framework is organized into 3 sectors and 13 subsectors:
Additional occupation-based NOS have been developed for Environmental Auditors, Site Assessment Assistants, Monitors, Environmental Management, Water and Wastewater Operators, Contaminated Sites Remediation Coordinators, Land Use Planning and Solid Waste Coordinators.

Please visit the Publications link at www.eco.ca to view additional NOS developments.

3.2 HOW NOS ARE USED

- As the foundation for the certification of environmental practitioners in Canada;
- As a self-assessment tool for employers and practitioners;
- As a program development tool for guiding curriculum development in post-secondary environmental programs and training courses;
- To assist in career development initiatives as concrete illustrations of environmental employment for students considering work in this area;
- As a structural framework to collect information about environmental employment in employer demand studies;
- To promote ECO Canada as leader in the building of a knowledgeable and highly skilled environmental workforce.
- Updates to the NOS also ensure that competencies remain leading edge, in Canada and internationally, not only identifying competencies required, but addressing emerging fields of practice; and
- Some statements may provide benchmarks for tasks that will become more critical in the future.

3.3 WHAT THE NOS FOR AUDITORS CONSIST OF

The NOS for Environmental Auditors consist of 66 competencies compiled an overall dictionary. A competency dictionary is a collection of competencies critical for effective performance within a specific context such as environmental employment. A competency is a combination of behaviours based on the application of knowledge, skills and attributes to perform a task; they are demonstrated behaviours.
The final NOS for Environmental Auditors statements are divided into three main categories, i.e. transferable, core knowledge and technical competencies. Briefly defined, they are:

**Technical competencies**, which are statements describing the demonstrated ability to perform a task (i.e. a series of activities that together produce a measurable result) to the satisfaction of the employer or otherwise established norms.

**Transferable competencies**, which are statements describing a behaviour or "soft skill" that may contribute to the successful performance of various technical tasks in the area of practice.

**Core knowledge**, describing a body of knowledge that a practitioner may need to have in order to perform successfully.

The NOS Dictionary for Environmental Auditors can be found in Appendix A of this report.
4.0 THE AUDITOR’S PROFILE

NOS Dictionaries can be used independently but also to build occupational profiles that group competencies in a particular area of practice. An occupational profile links competency statements to a specific role, such as Environmental Auditing. Profiles are used primarily for certification, allowing a candidate to measure his/her skills against the NOS. Precisely 22 transferable competencies, 33 technical competencies and 10 core knowledge statements are combined to create an occupational profile for Environmental Auditors.

There are many different types of Auditing associated with the environmental industry. In order to remain as relevant and inclusive as possible (especially at the certification stage), the occupational profile is combined to include Compliance and EMS Auditors, as well as Auditor and Lead Auditor sub-roles. Therefore, one overall profile can be considered inclusive of the entire occupation, regardless of sub-speciality or concentration.

Proficiency level is defined in the transferable and technical dictionary outlining what is required for successful performance in the role. Core knowledge statements are divided into several levels: basic, working, comprehensive, and advanced. Technical competencies are rated by two factors: 1) the importance of a specific task to successful performance and 2) the average level of competency needed to perform it.

To view the occupational profile for Environmental Auditors, refer to Appendix B.

For more information on occupational profiles and how they are used for certification, please visit www.eco.ca/nos.
5.0 CONCLUSION

It remains ECO Canada’s most important mandate to ensure a ready supply of qualified individuals to the environmental sector. Consistent with this fundamental goal, ECO Canada strives to produce occupational standards that are relevant and leading-edge. The 2010 NOS for Environmental Auditors is one of many projects that uphold ECO Canada’s commitment to the industry. As a result of rigorous research and time committed by a great many practitioners across Canada, National Occupational Standards continue to be used by professionals, employers and students as a foundation for excellence in environmental work.
APPENDIX A  NATIONAL OCCUPATIONAL STANDARDS FOR ENVIRONMENTAL AUDITORS

TRANSFERABLE COMPETENCIES

Professionalism
1 Demonstrates professional, ethical conduct, such as trust, integrity, consideration of client needs, timeliness, confidentiality and discretion in auditing, etc.
2 Demonstrates objectivity and independence from the activity being audited.
3 Demonstrates dependability by consistently following through to meet commitments.
4 Demonstrates tenacity and ingenuity in dealing with unusual or unexpected circumstances.
5 Pursues opportunities for personal learning and development to stay current and to address recognized personal limitations on an ongoing basis.
6 Navigates effectively through organizational complexities to avoid or overcome barriers to successful completion of the audit.

Communication
7 Communicates clearly, using culturally sensitive verbal and body language.
8 Uses effective interviewing techniques, including appropriate and respectful questioning, clarifying and listening skills.
9 Conveys technical information clearly and concisely, interpreting it appropriately for the target audience.
10 Uses appropriate content and format in oral presentations to address the specific needs of target audiences.

Collaboration
11 Collaborates effectively with others in groups and teams to achieve an effective audit.
12 Works cooperatively with multiple stakeholders, demonstrating respect for differences in approach and values.
13 Deals effectively with confrontational situations, demonstrating diplomacy, tact, empathy and consideration for differing points of view.

Critical Thinking
14 Carries out audits with due diligence and sound judgement.
15 Readily perceives risk factors, linkages, interactions and cause/effect relationships when reviewing processes and procedures.
16 Applies inductive and deductive reasoning to accurately interpret information and data, and assess its relevance to the audit criteria.
17 Documents information and data in an organized manner that readily facilitates evaluation.
18 Effectively extracts key information from the audit criteria for evaluation purposes.
Quality Management
19 Maintains active awareness of physical surroundings, activities and safety hazards.
20 Conducts activities safely and in accordance with regulatory and local site health and safety requirements.
21 Applies systems, methods and procedures to effectively manage the multiple priorities and activities in the audit.
22 Coordinates resources effectively (including financial, logistical, supplies, etc.) to achieve desired results when implementing the audit plan.

CORE KNOWLEDGE

1 Demonstrates knowledge of the nature of and differences between types of environmental auditing, investigations, inspections and assessments.
2 Demonstrates an understanding of the concepts, principles, components and skills of auditing, and the process approach to it. (ISO 19011)
3 Demonstrates an understanding of effective audit programmes. (ISO 19011)
4 Demonstrates knowledge in environmental science and technology that enables the auditor to understand the fundamental relationships between human activities, the environment and ecosystems.
5 Demonstrates a sufficient understanding of the auditee's environmental aspects, their impacts, and techniques to conduct an effective audit.
6 Demonstrates knowledge in environmental management systems, methods and techniques that enable the auditor to generate appropriate audit findings and conclusions. (ISO 14001)
7 Demonstrates knowledge of the nature of other management and operational systems and their relationship to EMS, e.g. ISO 9001 and OHSAS 18001.
8 Demonstrates knowledge of the applicable legislative and regulatory jurisdictions and agencies, and their roles, responsibilities and powers.
9 Demonstrates knowledge of the application of the legislation, regulations, standards and guidelines applicable to the audit.
10 Demonstrates an understanding of the principles and techniques for root cause analysis in order to assess the appropriateness of corrective action.
TECHNICAL COMPETENCY DICTIONARY

Pre-Audit

1. Establishes initial contact with the client and auditee to confirm authority and facilitate the initiation of the audit.
2. Acquires/maintains an understanding of the auditee's structure, business processes, culture and logistical considerations such as site location, weather factors, etc.
3. Develops an understanding of the applicable legislation, regulations, standards and guidelines related to the auditee’s environmental aspects.
4. Determines the feasibility of the audit, including sufficient and appropriate planning information, and adequate cooperation, time and resources.
5. In consultation with the auditee/client, agrees on audit objectives, scope, criteria and internal requirements such as confidentiality, security, safety, etc.
6. Selects audit team members with the right skills and knowledge to form effective teams and achieve the objectives of the audit.
7. Conducts an initial document review to determine the conformity of the documented system with audit criteria, if applicable.
8. Prepares a report to summarize the highlights and findings of the initial document review, if applicable, including its adequacy for conducting the audit.
9. Prepares the audit plan (e.g. as per ISO 19011) to provide the basis for agreement and to facilitate scheduling and coordination of audit activities.
10. Ensures a suitable health and safety plan is in place for the team in consultation with the client/auditee.
11. Assigns responsibilities to the audit team, as well as guides, translators, observers and witness auditors.
12. Prepares work documents, such as check lists, sampling plans and forms for recording information, etc.

Conducting the Audit

13. Conducts the opening meeting of the audit to ensure a shared understanding of the audit plan and other relevant matters.
14. Maintains communications with the auditee and client to communicate progress and concerns, including daily debriefings, as appropriate.
15. Maintains communications with the team, as well as guides and observers, to exchange information, assess progress and reassign work as needed.
16. Manages the activities of the audit team.
17. Manages the professional conduct of the audit team.
18. Supports the audit team to maintain independence, cooperation, morale and productivity.
19. Evaluates the significance of potential new issues uncovered during the conduct of the audit to determine the necessity of further action.
20. Ensures appropriate techniques, methods and procedures are used to collect and document verifiable evidence of conformity or non-conformity.
21. Ensure that sufficient, relevant audit evidence has been gathered to support the conclusion reached relative to the audit criteria and objectives.
22. Evaluates the auditee's conformity with the audit criteria based on the evidence collected and verified during the audit.
23 Determines whether the organization conducts environmental management in accordance with its planned arrangements.
24 Ensures all activities identified in plan are completed or adequately accounted for.
25 Prepares preliminary audit findings and conclusions.
26 Analyzes findings in terms of their significance in relation to the organization’s planned arrangements for EMS and/or compliance.
27 Communicates audit activities, obstacles, evidence and findings objectively and accurately.
28 Conducts the closing meeting of the audit (e.g. as per ISO 19011) to ensure a shared understanding of all the audit findings and, where applicable, conclusions and recommendations.

Audit Completion

29 Develops the formal audit report including conclusions and recommendations if applicable.
30 Manages the review and approval of audit report in accordance with agreed procedures.
31 Ensures appropriate records of the audit activities have been developed.
32 Evaluates the performance of the audit team members, if applicable.

Audit Follow-Up

33 Confirms the preparation of a potentially effective corrective action plan within the designated period, if applicable.
34 Conducts audit follow-up to ensure completion and effectiveness of corrective actions if applicable.
## APPENDIX B  OCCUPATIONAL PROFILE

### ENVIRONMENTAL AUDITOR

<table>
<thead>
<tr>
<th>Category</th>
<th>ID</th>
<th>Transferable Competency Statement</th>
<th>Proficiency Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professionalism</td>
<td>1</td>
<td>Demonstrates professional, ethical conduct, such as trust, integrity, consideration of client needs,</td>
<td>Excellent</td>
</tr>
<tr>
<td></td>
<td></td>
<td>timeliness, confidentiality and discretion in auditing, etc.</td>
<td></td>
</tr>
<tr>
<td>Professionalism</td>
<td>2</td>
<td>Demonstrates objectivity and independence from the activity being audited.</td>
<td>High</td>
</tr>
<tr>
<td>Professionalism</td>
<td>3</td>
<td>Demonstrates dependability by consistently following through to meet commitments.</td>
<td>Excellent</td>
</tr>
<tr>
<td>Professionalism</td>
<td>4</td>
<td>Demonstrates tenacity and ingenuity in dealing with unusual or unexpected circumstances.</td>
<td>Excellent</td>
</tr>
<tr>
<td>Professionalism</td>
<td>5</td>
<td>Pursues opportunities for personal learning and development to stay current and to address recognized</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td></td>
<td>personal limitations on an ongoing basis.</td>
<td></td>
</tr>
<tr>
<td>Professionalism</td>
<td>6</td>
<td>Navigates effectively through organizational complexities to avoid or overcome barriers to successful</td>
<td>High</td>
</tr>
<tr>
<td></td>
<td></td>
<td>completion of the audit.</td>
<td></td>
</tr>
<tr>
<td>Communication</td>
<td>7</td>
<td>Communicates clearly, using culturally sensitive verbal and body language.</td>
<td>Excellent</td>
</tr>
<tr>
<td>Communication</td>
<td>8</td>
<td>Uses effective interviewing techniques, including appropriate and respectful questioning, clarifying</td>
<td>Excellent</td>
</tr>
<tr>
<td></td>
<td></td>
<td>and listening skills.</td>
<td></td>
</tr>
<tr>
<td>Communication</td>
<td>9</td>
<td>Conveys technical information clearly and concisely, interpreting it appropriately for the target</td>
<td>Excellent</td>
</tr>
<tr>
<td></td>
<td></td>
<td>audience.</td>
<td></td>
</tr>
<tr>
<td>Communication</td>
<td>10</td>
<td>Uses appropriate content and format in oral presentations to address the specific needs of target</td>
<td>Excellent</td>
</tr>
<tr>
<td></td>
<td></td>
<td>audiences.</td>
<td></td>
</tr>
<tr>
<td>Collaboration</td>
<td>11</td>
<td>Collaborates effectively with others in groups and teams to achieve an effective audit.</td>
<td>High</td>
</tr>
<tr>
<td>Collaboration</td>
<td>12</td>
<td>Works cooperatively with multiple stakeholders, demonstrating respect for differences in approach and</td>
<td>Excellent</td>
</tr>
<tr>
<td></td>
<td></td>
<td>values.</td>
<td></td>
</tr>
<tr>
<td>Collaboration</td>
<td>13</td>
<td>Deals effectively with confrontational situations, demonstrating diplomacy, tact, empathy and</td>
<td>Excellent</td>
</tr>
<tr>
<td></td>
<td></td>
<td>consideration for differing points of view.</td>
<td></td>
</tr>
<tr>
<td>Critical Thinking</td>
<td>14</td>
<td>Carries out audits with due diligence and sound judgement.</td>
<td>Excellent</td>
</tr>
<tr>
<td>Critical Thinking</td>
<td>15</td>
<td>Readily perceives risk factors, linkages, interactions and cause/effect relationships when reviewing processes and procedures.</td>
<td>Excellent</td>
</tr>
<tr>
<td>-------------------</td>
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<td>-------------------------------------------------------------------------------------------------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td>Critical Thinking</td>
<td>16</td>
<td>Applies inductive and deductive reasoning to accurately interpret information and data, and assess its relevance to the audit criteria.</td>
<td>Excellent</td>
</tr>
<tr>
<td>Critical Thinking</td>
<td>17</td>
<td>Documents information and data in an organized manner that readily facilitates evaluation.</td>
<td>High</td>
</tr>
<tr>
<td>Critical Thinking</td>
<td>18</td>
<td>Effectively extracts key information from the audit criteria for evaluation purposes.</td>
<td>High</td>
</tr>
<tr>
<td>Quality Management</td>
<td>19</td>
<td>Maintains active awareness of physical surroundings, activities and safety hazards.</td>
<td>Excellent</td>
</tr>
<tr>
<td>Quality Management</td>
<td>20</td>
<td>Conducts activities safely and in accordance with regulatory and local site health and safety requirements.</td>
<td>Excellent</td>
</tr>
<tr>
<td>Quality Management</td>
<td>21</td>
<td>Applies systems, methods and procedures to effectively manage the multiple priorities and activities in the audit.</td>
<td>Excellent</td>
</tr>
<tr>
<td>Quality Management</td>
<td>22</td>
<td>Coordinates resources effectively (including financial, logistical, supplies, etc.) to achieve desired results when implementing the audit plan.</td>
<td>High</td>
</tr>
<tr>
<td>ID</td>
<td>Core Knowledge Statement</td>
<td>Recommended Level</td>
<td></td>
</tr>
<tr>
<td>----</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------------------</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Demonstrates knowledge of the nature of and differences between types of environmental auditing, investigations, inspections and assessments.</td>
<td>Working</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Demonstrates an understanding of the concepts, principles, components and skills of auditing, and the process approach to it. (ISO 19011)</td>
<td>Comprehensive</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Demonstrates an understanding of effective audit programmes. (ISO 19011)</td>
<td>Comprehensive</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Demonstrates knowledge in environmental science and technology that enables the auditor to understand the fundamental relationships between human activities, the environment and ecosystems.</td>
<td>Comprehensive</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Demonstrates a sufficient understanding of the auditee's environmental aspects, their impacts, and techniques to conduct an effective audit.</td>
<td>Comprehensive</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Demonstrates knowledge in environmental management systems, methods and techniques that enable the auditor to generate appropriate audit findings and conclusions. (ISO 14001)</td>
<td>Comprehensive</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Demonstrates knowledge of the nature of other management and operational systems and their relationship to EMS, e.g. ISO 9001 and OHSAS 18001.</td>
<td>Basic</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Demonstrates knowledge of the applicable legislative and regulatory jurisdictions and agencies, and their roles, responsibilities and powers.</td>
<td>Comprehensive</td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>Demonstrates knowledge of the application of the legislation, regulations, standards and guidelines applicable to the audit.</td>
<td>Comprehensive</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Demonstrates an understanding of the principles and techniques for root cause analysis in order to assess the appropriateness of corrective actions.</td>
<td>Working</td>
<td></td>
</tr>
<tr>
<td>Category</td>
<td>ID</td>
<td>Technical Competency Statement</td>
<td>Importance</td>
</tr>
<tr>
<td>------------------</td>
<td>----</td>
<td>--------------------------------------------------------------------------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>1</td>
<td>Establishes initial contact with the client and auditee to confirm authority and facilitate the initiation of the audit.</td>
<td>Critical</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>2</td>
<td>Acquires/maintains an understanding of the auditee's structure, business processes, culture and logistical considerations such as site location, weather factors, etc.</td>
<td>High</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>3</td>
<td>Develops an understanding of the applicable legislation, regulations, standards and guidelines related to the auditee’s environmental aspects.</td>
<td>Critical</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>4</td>
<td>Determines the feasibility of the audit, including sufficient and appropriate planning information, and adequate cooperation, time and resources.</td>
<td>Critical</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>5</td>
<td>In consultation with the auditee/client, agrees on audit objectives, scope, criteria and internal requirements such as confidentiality, security, safety, etc.</td>
<td>Critical</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>6</td>
<td>Selects audit team members with the right skills and knowledge to form effective teams and achieve the objectives of the audit.</td>
<td>Critical</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>7</td>
<td>Conducts an initial document review to determine the conformity of the documented system with audit criteria, if applicable.</td>
<td>High</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>8</td>
<td>Prepares a report to summarize the highlights and findings of the initial document review, if applicable, including its adequacy for conducting the audit.</td>
<td>High</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>9</td>
<td>Prepares the audit plan (e.g. as per ISO 19011) to provide the basis for agreement and to facilitate scheduling and coordination of audit activities.</td>
<td>Critical</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>10</td>
<td>Ensures a suitable health and safety plan is in place for the team in consultation with the client/auditee.</td>
<td>High</td>
</tr>
<tr>
<td>Pre-Audit</td>
<td>11</td>
<td>Assigns responsibilities to the audit team, as well as guides, translators, observers and witness auditors</td>
<td>High</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>12</td>
<td>Prepares work documents, such as check lists, sampling plans and forms for recording information, etc.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>13</td>
<td>Conducts the opening meeting of the audit to ensure a shared understanding of the audit plan and other relevant matters.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>14</td>
<td>Maintains communications with the auditee and client to communicate progress and concerns, including daily debriefings, as appropriate.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>15</td>
<td>Maintains communications with the team, as well as guides and observers, to exchange information, assess progress and reassign work as needed.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>16</td>
<td>Manages the activities of the audit team.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>19</td>
<td>Manages the professional conduct of the audit team.</td>
<td>Critical</td>
</tr>
<tr>
<td>----------------------</td>
<td>----</td>
<td>--------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>20</td>
<td>Supports the audit team to maintain independence, cooperation, morale and productivity.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>21</td>
<td>Evaluates the significance of potential new issues uncovered during the conduct of the audit to determine the necessity of further action.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>22</td>
<td>Ensures appropriate techniques, methods and procedures are used to collect and document verifiable evidence of conformity or non-conformity.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>23</td>
<td>Ensure that sufficient, relevant audit evidence has been gathered to support the conclusion reached relative to the audit criteria and objectives.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>24</td>
<td>Evaluates the auditee's conformity with the audit criteria based on the evidence collected and verified during the audit.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>25</td>
<td>Determines whether the organization conducts environmental management in accordance with its planned arrangements.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>26</td>
<td>Ensures all activities identified in plan are completed or adequately accounted for.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>27</td>
<td>Prepares preliminary audit findings and conclusions.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>28</td>
<td>Analyzes findings in terms of their significance in relation to the organization's planned arrangements for EMS and/or compliance.</td>
<td>Critical</td>
</tr>
<tr>
<td>Conducting The Audit</td>
<td>29</td>
<td>Communicates audit activities, obstacles, evidence and findings objectively and accurately.</td>
<td>Critical</td>
</tr>
<tr>
<td>Audit Completion</td>
<td>30</td>
<td>Develops the formal audit report including conclusions and recommendations if applicable.</td>
<td>Critical</td>
</tr>
<tr>
<td>Audit Completion</td>
<td>31</td>
<td>Conducts the closing meeting of the audit (e.g. as per ISO 19011) to ensure a shared understanding of all the audit findings and, where applicable, conclusions and recommendations.</td>
<td>Critical</td>
</tr>
<tr>
<td>Audit Completion</td>
<td>32</td>
<td>Manages the review and approval of audit report in accordance with agreed procedures.</td>
<td>High</td>
</tr>
<tr>
<td>Audit Completion</td>
<td>33</td>
<td>Ensures appropriate records of the audit activities have been developed.</td>
<td>Critical</td>
</tr>
<tr>
<td>Audit Completion</td>
<td>34</td>
<td>Evaluates the performance of the audit team members, if applicable.</td>
<td>High</td>
</tr>
<tr>
<td>Audit Follow-Up</td>
<td>35</td>
<td>Confirms the preparation of a potentially effective corrective action plan within the designated period, if applicable.</td>
<td>High</td>
</tr>
<tr>
<td>Audit Follow-Up</td>
<td>36</td>
<td>Conducts audit follow-up to ensure completion and effectiveness of corrective actions if applicable.</td>
<td>High</td>
</tr>
</tbody>
</table>
APPENDIX C  ACKNOWLEDGEMENTS

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