

# **GUIDELINES FOR REGISTRATION OF ENVIRONMENTAL AUDITOR**

**(AS REQUIRED UNDER SECTION 33A, ENVIRONMENTAL QUALITY ACT, 1974  
(AMENDMENT 1996))**

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## 1. OBJECTIVE

The principle objective of this guideline is to assist competent individual to register as environmental auditor based on the requirements under Section 33A, Environmental Quality Act, 1974 (Amendments 1996).

## 2. REQUIREMENTS FOR REGISTRATION

The general requisite to qualify for registration under this scheme is in accordance to the following:

1. **Skills and Knowledge**, as described under I below, **and**
2. **Education and Experience**, described under II(a), II(b) and II(c) below, **and**
3. **Written Examination**, **and**
4. **Professional Interview and Case Presentation** as described under IV below,

### I Skills and Knowledge.

Applicants shall pass an examination to demonstrate a satisfactory level of competence in all of the following areas;

- a Environmental Quality Act, 1974 and its subsidiary regulations there under.
- b Environmental science and technology;
- c Audit procedures, processes and techniques

Note :,

(i) *The Department of Environment will conduct the audit course and the examination. The application forms may be submitted without the prescribed written examination certificates. However, for the purpose of demonstrating the auditing skills and knowledge, the applicants are required to submit other evidence such as certificates from other relevant and reputable audit courses or registration bodies. Successful applicants will be called to sit for an Audit Course and sit for the Written Examination conducted by the Department of Environment.*

(ii) *The Department of Environment has prepared an Environmental Audit Guidance Manual that shall be used for the auditing purpose.*

(iii) *To date, **only Environmental Compliance Auditors will be registered.** However those with Risk Assessment experience may also indicate their auditing experiences in the form.*

### II Education and Work Experience

All applicants shall demonstrate qualifications in the following three areas as a minimum for registration.

**a Education.**

Applicants shall have at minimum, first degree in related environmental sciences, technology or engineering. Application from applicants with non related background will not be entertained.

**b Work Experience.**

All applicants shall have sufficient environmental work experience in a technical, professional, or managerial position involving the exercise of judgment and decision-making skills. The requirements are as in Table 1 and Table 2.

**c. Auditing Experience.**

All applicants shall demonstrate a minimum number of audit days completed to qualify for registration (refer Table 1). Auditing experience is evidenced by an Audit Log kept by the applicant. For details on Audit Log, please refer to **V. Audit Logs**.

**Table 1 : Criteria for Environmental Compliance Auditors**

	Post graduate in related environmental sciences, technology or engineering	First Degree in related environmental science, technology and /or engineering	Relevant Audit-days On-site (refer note)
Years of working experience (minimum)	7	8	<b>30</b>
	6	7	<b>40</b>
	5	6	<b>50</b>

Note :

**1. Relevant audit days**

*(ii). The applicant may list all environmental audits (e.g: waste audit, cleaner production audit) that he had performed. However, for the purpose of fulfilling the number of relevant audit days specified, only audit days on-site performed after 1.1.2000 can be calculated and the audit must comprised of environmental compliance audit (the audit criteria must cover regulatory compliance related to Environmental Quality Act 1974).*

## **2. Other Audit Team Members**

### **(i). Technical or Subject Expert**

*An expert can join the audit team for the duration and for a particular audit phase where his expert advice is required by the audit team. The technical or subject experts are not required to register. The auditor however must use their judgment to select the appropriate subject expert for the audit.*

### **(ii) Audit Assistant**

*A person who is not registered may work with a registered auditor as an audit assistant. However, the audit assistant should be competent enough to carry out the audit and has, as a minimum, **certified skills in environmental auditing**. The list and background information (education and experience) of the assistant consultants must be sent to DOE during the notification for audit (from the auditor to DOE). The audit assistant must have tertiary education in related environmental sciences, technology or engineering.*

## **III Written Examination**

All applicants must sit for a written examination to demonstrate knowledge and skill mentioned in I above. The validity of examination result is three years after passing an examination.

*(Refer Note under Skills & Knowledge)*

## **IV Interview and Case Presentation**

All applicants shall prepare at least two audit reports that he/she was involved in either wholly or partially in the referred audit work. This represents the Case Presentation which shall be presented during the interview.

An applicant may attend two interviews consecutively in any year(s), but, on failing the second interview, he shall attempt the third only after a two-year lapse.

## **V Audit Logs.**

All applications for registered auditor shall be accompanied with their respective audit logs, maintained in a manner which shall include but not limited to the following information in respect of each audit experience;

- a) Date(s) during which the audit was performed;*
- b) Duration on-site, and the total audit duration (audit-days) shall be shown separately;*
- c) Description on types of audit;*
- d) Name and contact details of the audited party (auditee);*
- e) Name and contact details of the organisation employing the auditor;*
- f) Name and contact details of the audit team leader;*
- g) Number of auditors in the audit team;*
- h) Applicant's role in the audit;*

## **VI Audit logs verification.**

Audit logs shall be signed by the client representative or auditee who is authorised to comment on the report. **Application without proper verification will not be processed.**

## **VII Professional References.**

Each applicant shall provide two professional references that have direct experience and/or personal knowledge of the applicant's auditing capacity, such as, the program manager, client, and consultant to whom the applicant had any form of attachment program.

## **VIII Registration fee.**

The registration fee is in Ringgit Malaysia five hundred only (RM500.00) only. This shall be inclusive of the processing of applications and other administrative fee related to its purpose and shall not be refundable in any circumstances. Fees for required training shall be charged separately.

*Note: No fee shall be paid, until notified by DOE. Do not include the payment in your application form*

## **IX Renewal of Auditor Registration.**

- a. All registered auditors shall renew their registration every three years. Renewal application shall be submitted at least 3 months prior expiry. The fee for renewal of auditor registration is Ringgit Malaysia Three Hundred (RM300.00).
- b. Each applicant shall maintain an audit log with recorded information as described in **V** Audit Log Book, above. Applicants are required to accumulate a minimum of 20 relevant audit days on site during the 3 years between registration periods (*see definition of Relevant Audit Days*).
- c. Each applicant shall maintain a Continuous Professional Development (CPD) record showing verifiable details of professional development undertaken.
- d. All applicants for renewal of registration shall have completed at least fifty (50 hours) of appropriate continuous professional development (CPD). Details of activities counted for CPD can be found in Guidelines for CPD. The CPD activities must be recorded in the CPD Log Sheet .

Records of professional development shall show the duration and type of activity undertaken and where relevant, the details of the provider. All entries in the professional development records shall be accompanied with legible records (eg. certificate of attendance) and submitted at point of renewal.

## **X De-registration**

An auditor may be deregistered under the following conditions;

1. Convicted under local or foreign constitution/legislation/sovereign rights;
2. Incapacitative mind
3. False declaration of information in the application
4. Unprofessional conduct, including report falsification or representation.
5. Report not accepted by DOE for 3 times based on reporting inadequacy or poor quality of work
6. Fail to comply with the Code of Conduct
7. Fail to fulfill the minimum requirements of CPD
8. Fail to fulfill the minimum number of audit days required for renewal
9. Other reasonable grounds.

The committee set up under this Registration Scheme will make the final decision on de-registration.

## **XI Personal Attributes.**

Applicants for registration shall be able to demonstrate the personal attribute necessary for the effective and efficient performance of the audit.

Desirable personal attributes for environmental auditors are as follows;

- b) Competence in clearly and fluently expressing concepts and ideas, orally and in writing;
- c) Interpersonal skills conducive to the effective and efficient performance of the audit, such as diplomacy, tact and ability to listen;
- d) The ability to maintain independence and objectivity sufficient to permit the accomplishment of auditor responsibilities;
- e) Skills of personal organisation necessary to permit the effective and efficient performance of the audit;
- f) The ability to reach professional judgements based on objective evidence, and
- g) The ability to react with sensitivity to the conventions and culture of the organisation, site or region in which the audit is performed.

## **XII Code of Conduct**

All Environmental Auditors are obliged to improve the standing of the environmental auditing profession by rigorously observing the following Codes of Conduct. Failure to conform may result in suspension or deregistration. All Registered Environmental Auditors shall:

*Act professionally, accurately and in an unbiased manner;*

*Strive to increase the competence and prestige of the environmental auditing profession;*

*Assist those under my supervision in developing their management, professional and environmental auditing skills;*

*Not to undertake any job that I am not competent to perform;*

*Not to represent conflicting or competing interests and to disclose to any client or employer any relationship that may influence my judgment;*  
*Not to accept any inducement, commission, gift or any other benefit from any interested party or knowingly allow colleagues to do so;*  
*Not to intentionally communicate false or misleading information that may compromise the integrity of any audit; and*  
*Not to act in any way that would prejudice the reputation of the Environmental Auditor Registration Scheme or the environmental auditors registration process and to co-operate fully with any inquiry in the event of any illegal breach of this code.*

### **3. PROCESSING OF APPLICATIONS**

The Director General of the Department of Environment shall establish an Environmental Auditors Registration Scheme Secretariat to carry out the process of registration of environmental auditors.

The evaluation process shall consist of the following:

- 1. Evaluation of results of the prescribed Written Examination and**
- 2. Document and Information Verification, and**
- 3. Professional Interview**

#### **I Written Examination**

The prescribed written examination as mentioned in the section on **REQUIREMENTS FOR REGISTRATION** above shall be taken prior to application for registration. A certificate will be issued for successful candidates. An application must be made within three years of receiving a certificate (***Refer note on 1. Skills and Knowledge***)

#### **II Document and Information Verification.**

The Environmental Auditor Registration Scheme Secretariat shall verify the accuracy of the information provided in the application. The information in the audit log will be verified by way of communication with the client who commissioned the audit. Applicants should inform their clients that the Registration Secretariat may contact them to verify the information in the audit log.

#### **III Professional Interview.**

A professional interview will be conducted by a committee appointed by the Director General of Environment to verify that each applicant has fulfilled the above requirements.

### **4. ESTABLISHMENT OF COMMITTEE**

For the purpose of administering the registration activities certain administrative functions are created to affect the registration of auditors efficiently, professionally and transparently. Possible examples of such committees are:



- I Registration Committee
- II Examination committee
- III Interview Committee

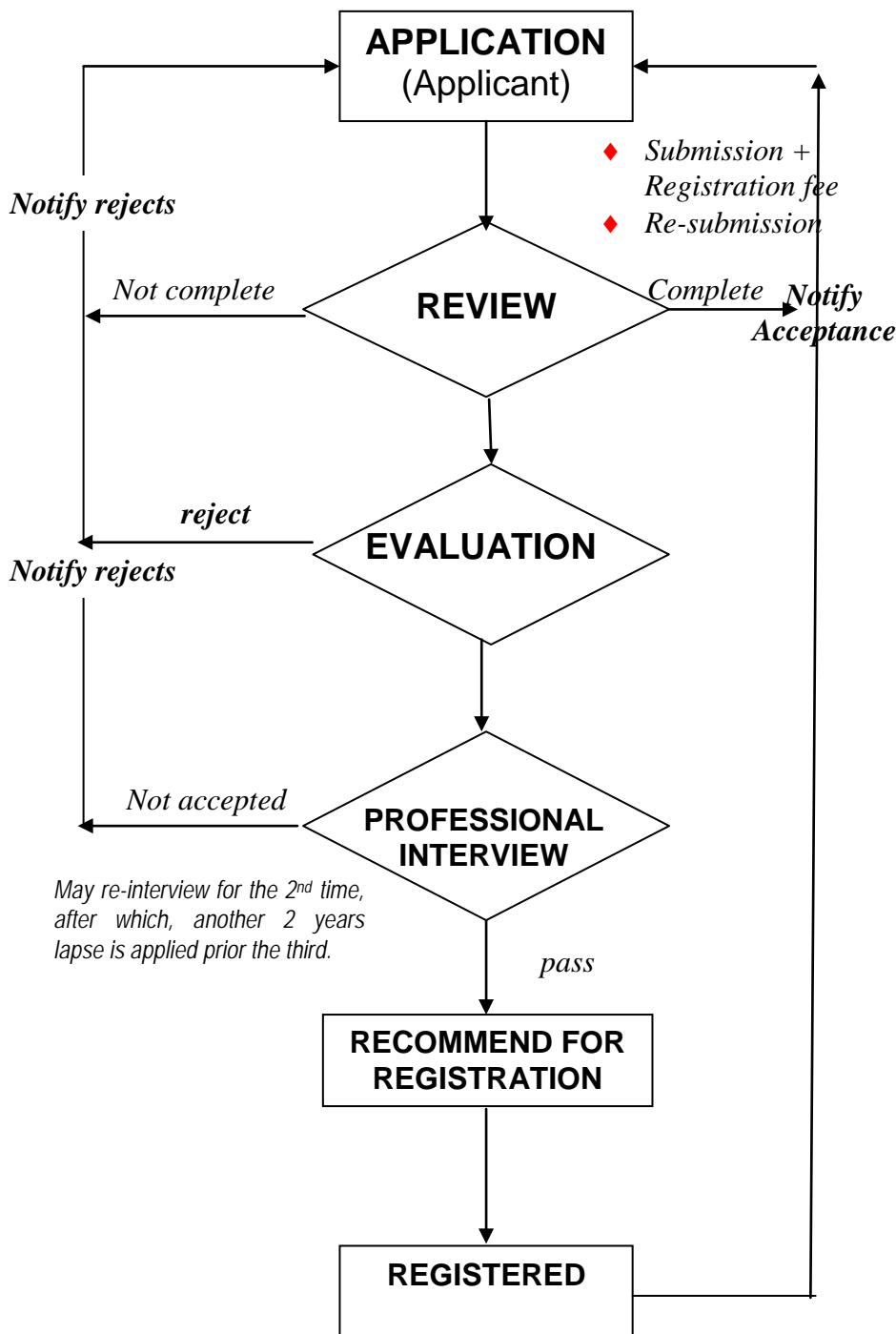
## **I Registration certificate**

The Environmental Auditor Registration Scheme Secretariat shall issue Registered Environmental Auditor Certificate to successful applicants based on the recommendation of the Interview Committee

## **II Scale of fees**

To assist in ensuring the continuing professionalism and independence of auditors, committees may be set up to deliberate the incentives for the continuing professionalism of auditors including the setting up of the scale of fees and modes of payment to environmental auditors.

## 5. Overview of Registration Process



### APPLICATION

- ◆ Submission of application document and registration fee – using standard Application Form – New Registration

### REVIEW

- ◆ Secretariat check application for completeness.
- ◆ Secretariat process payments.
- ◆ Secretariat coordinates meeting and interview.

### EVALUATION

- ◆ Conducts Documentary and Information Verification.
- ◆ Additional information may be asked in interview session.

### PROFESSIONAL INTERVIEW

- ◆ Verifying competence
- ◆ Personal attributes/personality
- ◆ Other criteria set by registration body.

### REGISTRATION

- ◆ Standard Legible Registration Certificates for Environmental Auditors shall be endorsed by the DG of Environment.

### RENEWAL

- ◆ Submission using Application Form - Renewal