



**Title:**

Certified Health and Safety Management System Auditor (CHSMSA) Examination Process

**Authorization:**

**Content Single Point of Contact:**

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**Reviewed by:**

Eldeen Pozniak

**Authorized by:**

Peter Beukema

**Compliance Date:**

Immediate

**Purpose:**

The purpose of this procedure is to guide the CHSMSA examination process.

**Exceptions:**

none

**Revision History:**

Date	Revision	Intent	Non-Intent	Revision No.
January 16, 2018	Initial Release			01



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## 1.0 Purpose:

The purpose of this procedure is to guide the Registrar through

- documenting the results of the applicant evaluation including the examination;
- maintaining requisite applicant review records; and
- managing the exam Proctor including selection, and specification of roles and responsibilities.

## 2.0 Scope:

This procedure applies to the CHSMSA applicant review process, examination, and records.

## 3.0 Direction:

While this document is written for the registrar, it contains guidance that will need to be communicated to the applicant.

### 3.1 Process:

#### 3.1.1 Examination

Applicants should allow about six (6) weeks to ensure adequate time for the applicant exam preparation, as well as identification of the Proctor.

Qualified applicants are required to pass an exam. Once the examination process is indicated then the candidate will be notified of the requirement and Proctor information will be sent.

A Proctor selected by the candidate, and approved by the Registrar oversees the examination. Proctor Qualification Criteria and Form are outlined later in this document.

Once the Proctor information is submitted, the Registrar contacts the Proctor to verify their information and approves them. This includes verification of where to send the examination package to.

Examination package (Appendix A) is mailed to the Proctor via registered, tracked and signature required email. The package includes

- Proctor Instructions;
- Examination Completion Form;
- AAC Candidate Examination Security and Confidentiality Agreement;
- Sealed envelope with copy of the exam;
  - The exam is in a sealed envelope – ensure that it is not tampered with or opened until exam is to be written and provided to the candidate in the exam room; and
- Self-addressed envelope for completed exam to be returned via registered mail.

An email to the Proctor, thanking them for proctoring, letting them know what is in the package and that it has been mailed, and the next steps in the process. Inclusions are in Appendix A.

Upon receipt of this package via registered mail the Proctor is instructed to email AAC – CHSMSA registrar with the following information:



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- Email title line: AAC – Registrar – re: *Candidates Name Examination*;
- Information to be included in the email is:
  - confirmation of receipt and review of the package
  - confirmation of date, time and location of exam
  - Proctor name and phone number; and
- If the email is not received, then this could invalidate the exam for the candidate.

### ***During the Exam***

The exam is written at a location of the applicant's choosing, as long as it meets the criteria listed below.

- Secure and quiet location;
- It is not to have any posters, notations or other aids that may assist the candidate with exam questions;
- Cell phones, personal tablets, electronic/smart watches and any other devices with the ability to connect to Wi-Fi will not be permitted in the testing room;
- No bulky jackets or hats are allowed in the testing room; and
- No personal notes or reference materials.

The Candidate is not allowed access to any other items than those listed below:

- Water bottle or drink;
- Exam;
- Pens; and
- Additional lined paper that is supplied by the Proctor and assured of no notes, assistance or writing on it.

The Proctor is to be in direct vision of the candidate during the entire testing time, and they are not to leave the testing area during the test.

- If they have to go to the washroom, they will need Proctor permission and sign in and out indicating the time in the comment section on this form. If any time in the bathroom is more than 7 minutes, the Proctor will document the break as an examination irregularity on this form. AAC may invalidate exam results upon receiving information on any irregularity.

### ***Emergency procedures***

- If a fire alarm or other evacuation emergency occurs, the Proctor shall pick up the candidate's exam and direct the candidate to the appropriate location for evacuation. At an appropriate time, the Proctor shall verify all examination material is properly accounted for and the document the incident as an examination irregularity under comments on the form. Dependent on the situation, either the candidate will be allowed to continue the exam, or if postponed, then the Proctor will return the exam to the registrar, another exam date will be set and another exam will be sent out by the register.



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Documenting examination irregularity is any unexpected occurrence during the examination administration. The following are examples:

- Fire alarm activation;
- Medical emergency associated with candidate or Proctor;
- Disruptive candidate;
- Evidence of cheating detected;
- Evidence of unauthorized disclosure of the examination content detected; and/or
- Evidence of an attempt to leave with examination material.

Any and all examination irregularities will be documented on the form under the comment section with information on the time, type, description and any actions take to mitigate the irregularity.

The Candidate must read and sign the AAC Candidate Examination Security and Confidentiality Agreement. If the candidate is not willing to sign the form – the registrar is to be contacted immediately, make note on the form of refusal to sign, the exam will be cancelled and all materials will need to be returned to the registrar. The AAC Board of Directors will be made aware of the situation and a decision on next steps to be taken will be made at that time.

All answers will be written on the examination hardcopy provided. In the event that the candidate requires additional space for the answer, lined paper can be used. The registrar will check that the paper does not have any notes or other assistance. In the event that additional paper is required to complete the answer, it is the candidate's responsibility to clearly reference the question. Only one (1) side of the additional paper should be used. The candidate is responsible to clearly note on the provided exam that a specific number of additional pages were used and were included as part of the answer package. The additional pages should be numbered in the following fashion 1 of 3, 2 of 3 etc..

Applicants will be allotted 2.5 hours to complete the exam.

### ***After the Exam***

The Candidate is to review and sign the Completion form (included in Appendix A), along with Proctors signature.

The exam is to be put into the provided envelop with the Form. If the Form is not returned with the exam – it will invalidate the exam.

The envelop is addressed for return. It is to be returned via registered – tracked mail at the cost of the candidate.

Upon completion of the exam, the Proctor is to email AAC – CHSMSA with the following information:

- Email title line: AAC – Registrar – re: *Candidates Name* Examination completed;
- Information to be included in the email is:
  - confirmation of completion of the exam;
  - location and time of exam start and finish;



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- Proctor name and phone number; and
- If the email is not received, then this could invalidate the exam for the candidate.

The Registrar will endeavor to complete the exam evaluation, notify the candidate, and submit the records and other documentation within three (3) weeks of receiving the completed exam. At this time, the Registrar will make their recommendation of whether or not to certify the individual to the Board. Once informed of the Board's decision, the Registrar is required to notify the candidate of the results of the Board's decision including the exam results

The pass threshold for the exam is 75%.

The exam can be written as many times as necessary however there must be a 3-month window between attempts.

### 3.1.2 Panel Review:

In the event that the answer to a given question is unclear, or open to interpretation, the registrar may request a panel review of the answer. The panel will be comprised of knowledgeable persons drawn from the AAC membership. Members of the panel may at their discretion involve external experts. If the registrar feels that additional clarity is required from the candidate in order to recommend them for certification, the registrar may convene an expert panel. The panel may review the documentation including the exam answers and or interview the candidate.

### 3.1.3 Proctor Qualification Criteria:

An exam Proctor is required to ensure the integrity of the exam writing process. The objective of an exam Proctor is to verify that applicant's complete exams independently.

The Proctor must meet the following criteria:

- hold in good standing an appropriate designation with ECO Canada or a similar certified or licensed professional body/association (e.g. P. Eng, P.E., QEP, P. Chem, etc.), or
- be a teacher/educational professional (active or retired) above the pre-school level, or
- be an official with a religious institution (e.g. priest, rabbi, pastor, minister, nun, monk, or imam);
- not be related to the applicant in any way (including by marriage or common law);
- not reside at the same address as the applicant;
- be fluent in either French or English, at the preference of the applicant;
- not have been involved, within the last two years, in related training activities associated with the applicant;
- be identified to the Registrar at least three (3) weeks prior to the exam;
- be willing to accept, sign and return a Confidentiality / Conflict of Interest Agreement, plus an Evaluation Volunteer/Contractor Acknowledgement Form prior to proctoring the examination; and
- be available at the time of the examination, for the entire duration of the examination.



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Professional acquaintance with between the Proctor and applicant is acceptable as long as there is no conflict of interest.

The Proctor will received the Exam Package and keep the AAC examination package in a secure location until exam date.

It is important that the Proctor understand that they to have acknowledged that they will keep confidential everything on the exam. If it is found that they have disclosed any portion of this examination by any means, or provided the candidate or anyone else with any written or electronically-recorded examination-related information, AAC may revoke any AAC credential the candidate or they hold, terminate their and the candidates opportunity to pursue a AAC credential, or take such other or further action as is deemed appropriate. Reference to this is made clear in the Proctor instructions within the exam package and Proctor and exam sent confirmation email.

Appendix B – Proctor Form



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## Appendix A – Exam Package

### Letter to Proctor

Date:

Dear \_\_\_\_\_

Thank-you for agreeing to be a Proctor for the CHSMSA exam for: \_\_\_\_\_.

In this package, you should have:

- Examination Completion Form;
- Proctor Instructions;
- AAC Candidate Examination Security and Confidentiality Agreement;
- Sealed envelope with copy of the exam; and
- Self-addressed envelope for completed exam to be returned via registered mail.

Upon receipt of this package via registered mail, please email AAC – CHSMSA registrar Eldeen Pozniak at [eldeen@pozniaksafety.com](mailto:eldeen@pozniaksafety.com) with the following information:

- Email title line: AAC – Registrar – re: *Candidates Name* Examination;
- Information to be included in the email is:
  - confirmation of receipt and review of the package;
  - confirmation of date, time and location of exam;
  - Proctor name and phone number; and
- If the email is not received, then this could invalidate the exam for the candidate.

Please review the Proctor instructions. If you have any questions, concerns, or feel that you cannot meet the requirements outlined within this package, please contact the registrar immediately.

Any questions, comments or problems prior to, during or after the exam, please contact:

Eldeen Pozniak - AAC – CHSMSA Registrar  
Ph#:306-222-7122 or 480-338-8022  
Email: [eldeen@pozniaksafety.com](mailto:eldeen@pozniaksafety.com)

Sincerely,

CHSMSA Registrar  
Auditing Association of Canada



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**Certified Health & Safety Management System Auditor  
Examination Completion Form**

<b>Certified Health And Safety Management System Auditor Examination Completion</b>	
Candidate's name:	
Date:	
Location of Exam Completion:	
Start time of the Test:	End time of the Test:
Proctor's Name:	
Instructions to Proctor:  As per back of this form	



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<p>Did the candidate include additional pages to answer questions?</p> <p>No</p> <p>Yes – if yes specify the number of pages.</p> <p>Ensure that the additional pages initialed by the candidate?</p> <p>Initial the pages as the registrar.</p>	
<p>Complete and initial one of the two statements below.</p>	
<p>The exam was completed within the specified timeframe without outside influence, and without concern.</p>	<p>Initial</p>
<p>The exam was not completed within the specified timeframe without outside influence, and without concern.</p> <p>Provide details</p>	<p>Initial</p>
<p>Any comments from Candidate</p>	<p>Signature</p>
<p>Any comments from the Proctor</p>	<p>Signature</p>



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## Proctor Instructions

### Prior to the exam:

Upon receipt of this package via registered mail, please email AAC – CHSMSA registrar Eldeen Pozniak at [eldeen@pozniaksafety.com](mailto:eldeen@pozniaksafety.com) with the following information:

- Email title line: AAC – Registrar – re: *Candidates Name* Examination;
- Information to be included in the email is:
  - confirmation of receipt and review of the package;
  - confirmation of date, time and location of exam;
  - Proctor name and phone number; and
- If the email is not received, then this could invalidate the exam for the candidate.

Please ensure the testing room in which the exam is taking place is quiet and secure. It is not to have any posters, notations or other aids that may assist the candidate with exam questions.

The exam is in a sealed envelope – ensure that it is not tampered with or opened until exam is to be written and provided to the candidate in the exam room.

Keep AAC examination package in a secure location until exam date.

It is important that you understand that you have acknowledged that you will keep confidential everything on the exam. If it is found that you have disclosed any portion of this examination by any means, or provided the candidate or anyone else with any written or electronically-recorded examination-related information, AAC may revoke any AAC credential the candidate or you hold, terminate their and your opportunity to pursue a AAC credential, or take such other or further action as is deemed appropriate.

### The Exam:

Please ensure the room is clear of any other persons, as the candidate is not allowed to visit with anyone during the test.

Cell phones, personal tablets, electronic/smart watches and any other devices with the ability to connect to Wi-Fi will not be permitted in the testing room. No bulky jackets or hats are allowed in the testing room.

The Candidate is not allowed access to any other items than those listed below:

- Water bottle or drink;
- Exam;
- Pens; and
- Additional lined paper that is supplied by the proctor and assured of no notes, assistance or writing on it.



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You will be in direct vision of the candidate during the entire testing time, and they are not to leave the testing area during the test.

- If they have to go to the washroom, they will need to your permission and sign in and out indicating the time in the comment section on this form. If any time in the bathroom is more than 7 minutes, the proctor will document the break as an examination irregularity on this form. AAC may invalidate exam results upon receiving information on any irregularity.

#### Emergency procedures

- If a fire alarm or other evacuation emergency occurs, the proctor shall pick up the candidate's exam and direct the candidate to the appropriate location for evacuation. At an appropriate time, the proctor shall verify all examination materials is properly accounted for and the document the incident as an examination irregularity under comments on the form. Dependent on the situation, either the candidate will be allowed to continue the exam, or if postponed, then the proctor will return the exam to the registrar, another exam date will be set and another exam will be sent out by the register.

Documenting examination irregularity is any unexpected occurrence during the examination administration. The following are examples:

- Fire alarm activation;
- Medical emergency associated with candidate or Proctor;
- Disruptive candidate;
- Evidence of cheating detected;
- Evidence of unauthorized disclosure of the examination content detected; and
- Evidence of an attempt to leave with examination material.

Any and all examination irregularities will be documented on the form under the comment section with information on the time, type, description and any actions take to mitigate the irregularity.

Please have the Candidate read and sign the AAC Candidate Examination Security and Confidentiality Agreement. If the candidate is not willing to sign the form – the registrar is to be contacted immediately, make note on the form of refusal to sign, the exam will be cancelled and all materials will need to be returned to the registrar.

Any questions, comments or problems during or after the exam, please contact

Eldeen Pozniak - AAC – CHSMSA Registrar  
Ph#:306-222-7122 or 480-338-8022  
Email: [eldeen@pozniaksafety.com](mailto:eldeen@pozniaksafety.com)

Please Read the following to the Candidate prior to the exam



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- First, a quick safety briefing. In the event of a fire alarm or other evacuation instruction, you must hand your exam to me, and evacuate the room by \_\_\_\_\_ (evacuation directions/doors and directions, as required).
- If you brought anything else into this room, you must check it in with me. You cannot access any of your personal items or electronic devices until you complete your examination. If you access any unauthorized materials, your examination will be invalidated.
- If you require additional paper for exam questions, then I will provide lined paper for you to use.
- It will be your responsibility to clearly reference the question that you are answering, only use one side of the additional paper and clearly note on the provided exam that a specific number of additional pages were used and were included as part of the answer package. Additional pages should be numbered in order and both you and me – the Proctor need to initial each page, when exam is handed in.
- You have 2.5 hours to complete the exam.
- The restrooms are located \_\_\_\_\_ (restroom locations). To take a restroom break during the examination, you must get permission from me.
- You have 2.5 hours to write the exam.
- It is crucial that you understand that you have acknowledged that you will keep confidential everything on the examination. You agreed to this when you signed your initial formal application for certification, your non-disclosure agreement, and the ethics agreement.
- DO NOT discuss the examination with anyone. The examination is property of the Auditing Association of Canada and disclosure of any of the examination content to anyone in any form at any time is prohibited.

#### **After the Exam:**

The Candidate is to review and sign the form, along with your signature.

Exam is to be put into the provided envelop with the form. If the form is not returned with the exam – it will invalidate the exam.

Upon completion of the exam, please email AAC – CHSMSA registrar Eldeen Pozniak at [eldeen@pozniaksafety.com](mailto:eldeen@pozniaksafety.com) with the following information:

- Email title line: AAC – Registrar – re: *Candidates Name* Examination completed;
- Information to be included in the email is:
  - confirmation of completion of the exam;
  - location and time of exam start and finish;
  - Proctor name and phone number; and
  - If the email is not received, then this could invalidate the exam for the candidate.

Mail the completed exam immediately – registered mail in the self addressed envelope provided. Ensure that it is addressed to Auditing Association of Canada



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Att: Registrar – Eldeen Pozniak  
8B 181 3110 8<sup>th</sup> St E  
Saskatoon, SK  
S7H 0W2  
Ph#: 306-222-7122

Let the Candidate know that the registrar will endeavor to complete the exam evaluation, notify the candidate and submit the records and other documentation to the board within three (3) weeks of receiving the completed exam. At this time, the Registrar will make their recommendation of whether or not to certify the individual to the Board of Directors. Once informed of the Board's decision, the Registrar is required to notify the candidate of the results of the Board's decision including the exam results.

In the event of that the answer to a given question is unclear, or open to interpretation, the registrar may request a panel review of the answer. The panel will be comprised of knowledgeable persons drawn from the AAC membership. Members of the panel may at their discretion involve external experts. If the registrar feels that additional clarity is required from the candidate in order to recommend them for certification, the registrar may convene an expert panel. The panel may review the documentation including the exam answers and or interview the candidate.



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## AAC Candidate Examination Security and Confidentiality Agreement

You shall not reproduce this examination in any form, in part or in whole. This examination is property of the Auditing Association of Canada and reserves all rights to this examination.

### NON-DISCLOSURE AND THEFT OF INTELLECTUAL PROPERTY

You shall not disclose any portion of this examination by any means. You shall not leave or attempt to leave your testing room with any information which in any way relates to this examination. If you disclose any portion of this examination by any means, or if you leave or attempt to leave your testing area with any written or electronically-recorded examination-related information, AAC may revoke any AAC credential you hold, terminate your opportunity to pursue a AAC credential, or take such other or further action as is deemed appropriate.

### EXAMINATION SECURITY

For the duration of the examination you shall not:

- Leave the building (or part of the building).
- Consult verbally, electronically, or in writing with any person other than your Proctor.
- Consult any written or electronic references.
- Leave your testing area, except to take a self-scheduled bathroom break within the building (or part of the building) controlled by Proctor.

The Proctor formally documents and reports all irregularities to AAC, and AAC evaluates each irregularity to determine appropriate actions. Depending on the irregularity, AAC may invalidate your examination or take additional disciplinary actions against you for violating AAC security procedures.

I ACKNOWLEDGE RECEIVING, READING, AND UNDERSTANDING THESE RULES, AND I AGREE TO FULLY ABIDE BY THESE RULES.

Printed Name:

Signature:

Date:



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## Appendix B – Proctor Notification Form

### Proctor Notification

An exam Proctor is required to ensure the integrity of the exam writing process. The objective of an exam Proctor is to verify that applicant complete exams independently.

<b>Name of Applicant:</b>	
<b>Date of Proctor Notification:</b>	

<b>Name of Proctor:</b>	
<b>Address:</b>	
<b>Phone:</b>	
<b>Email:</b>	

<b>Exam location:</b>	
<b>Exam Date &amp; Time</b>	(to be 3 weeks after the submission of this form)

The Proctor must meet the following criteria:

Professional acquaintance with between the Proctor and applicant is acceptable as long as there is no conflict of interest.	Indicate criteria met	Office Use Only
1. hold in good standing an appropriate designation with ECO Canada or a similar certified or licensed professional body/association (e.g. P. Eng, P.E., QEP, P. Chem, etc.), or		
be a teacher/educational professional (active or retired) above the pre-school level or		



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<b>Professional acquaintance with between the Proctor and applicant is acceptable as long as there is no conflict of interest.</b>	<b>Indicate criteria met</b>	<b>Office Use Only</b>
be an official with a religious institution (e.g. priest, rabbi, pastor, minister, nun, monk, or imam).		
2. not be related to the applicant in any way (including by marriage or common law);		
3. not reside at the same address as the applicant;		
4. be fluent in either French or English, at the preference of the applicant;		
5. be identified to the Registrar at least three (3) weeks prior to the exam;		
6. be willing to accept, sign and return a Confidentiality / Conflict of Interest Agreement, plus an Evaluation Volunteer/Contractor Acknowledgement Form prior to proctoring the examination; and		
7. be available at the time of the examination, for the entire duration of the examination.		