



Auditor Transition Exam: Recommendations, Responses & Specifications

Bonn, February 2017

With the first auditors registering for the Auditor Transition Exam, this paper provides a summary with responses to frequently asked questions as well as recommendations and specifications.

Registration for the exam & sign up for the second cycle (if needed)

On the registration page (<http://www.appcobra.com/astracademy/index.html>) please note the following:

- If you work for more than one Certification Body, please just select one of them from the list of the drop down menu.
- Use the e-mail address that you use with your employing CB, the one selected on the registration form.
- For the text box “currently qualified for...”, do not select more than two options. To select these two options keep the CTRL-key pressed (on PC) or control + command key (on Mac) while choosing with a mouse click the two options relevant for you.
- The exam will be customized according to the selected scope of qualification. Please mind: if selecting CoC with CW, aspects of CW as to FSC-STD-40-005 will also be included in Part 3a. Other quizzes in the COC with CW domain include also some questions relating to CW.
- Kindly ensure that you choose the domain that corresponds to your qualification scope. If you select COC without CW when you register, changing this to include CW will require the intervention of the technical support. Such a change is feasible as long as you have not started the quizzes relating to COC. If you request this after taking some of the quizzes, you might need to re-take some of the quizzes.
- Kindly make sure that you only register once.
- For taking the exam within the first cycle there is a time limitation of one month. *This time limitation starts once you have registered for the exam (i.e. filled in the registration form and NOT with the first log-in!). Therefore: Do not register before you are sure that you have the time available to take the exam.*
- The exam is open until the end of June 2017 – however, in order to fully benefit from the one month period to complete the exam after registration, make sure to register no later than in the end of May.
- **For the second cycle (if needed) do not register again, but inform Astra Academy. For details please see below under “pass/fail”.**

Technical Issue: Upon registration, a confirmation e-mail from the e-learning platform is sent out within 15 minutes (please also check your junk mail folder). You can go back to the log-in page and insert your user name and password. If the account was created, you should be able to log in. If you have not received a confirmation e-mail or cannot log in, please send an e-mail to technical support either from the system (<http://www.appcobra.com/astracademy/kplms/pages/supportemail.asp?uid=0>), or directly to info@astracademy.net.

Preparation for the exam

Please make sure that you have read the Terms & Conditions (T&C) before taking the Exam. This document can be found under (<http://www.appcobra.com/astracademy/index.html>) in 5 different languages. It contains important information that will answer many of your questions!

In preparation for the exam it is indispensable to carefully go through and review all normative documents. In the Terms & Conditions there is a table to inform which normative documents relate to which quizzes of the exam. All documents can be found under <https://ic.fsc.org/en/certification/requirements-guidance/normative-framework>. The relevant normative documents are the ones that became effective before 1 April 2016. There is only one exception – which is about Controlled Wood (see below).

It is not expected that you know the documents by heart, but you must know the main topics and areas covered in each document to be able to quickly relate a question to the relevant content/document and be able to give the correct answer. When going through the exam it is helpful to pay attention to the title of the quiz which indicates the content and normative documents around which the questions will be asked.

There are two preparatory modules online that you can access after your first log-in: an intro to the exam and a sample quiz. The information provided here has already been given in writing in the T&C document. The modules are an additional and helpful visualization. Please make sure to go through them, before you start the quizzes!

Terminology on the e-learning platform

The e-learning platform uses the terms course and lesson, which have been kept for the Auditor Transition exam. In regard to the Auditor Transition Exam the term **“Course”** refers to a *group of quizzes* (e.g. “FSC Auditor Transition Exam: Chain of Custody”, or “FSC Auditor Transition exam: ISO 19011 and FSC Trademarks”): Opening a “Course” by clicking on “Launch Course” will take you to the quizzes in that “course” (see below screenshot).

The term **“Lesson”** on the below screenshot refers to a *quiz, or*, in the case of the introductory course, to the lesson (module) presenting the *introduction and guidance to the exam*.



FSC Auditor Transition Exam: ISO 19011 and FSC Trademarks

Tests on auditing techniques and ISO 19011, and on the correct use of the FSC Trademarks. Note: opening any of the quiz files below counts as one attempt on that quiz!

Your Status: 0 lessons have been completed.

0000
15 You last ran a lesson from this course on: 31 days ago

TOC Table of Contents...

Launch Course...

Recording of attempts to take the exam

Within each of the two cycles you have two attempts with each quiz of the exam. Each opening of a quiz or interruption in the middle of it is counted as attempt!

Therefore: Do not open a quiz unless you are prepared and are sure that you can really go through it.

This is also mentioned on the e-learning platform: before you open a domain (e.g. COC or FM) you will see a note saying: “Opening any of the quiz files below counts as one attempt on that quiz!”

Further, be sure that you have a stable internet connection.

Controlled Wood and Chain of Custody

For CoC the relevant normative document is the STD-40-005 V 3-0, thus the revised standard – not the old one.

Also the CoC quizzes (without CW aspects taken as to STD-40-005 V 3-0) contains certain questions around CW (as included in STD-40-004). These questions relate to CW issues that are relevant for CoC certified companies, even if this certificate does not include CW.

Fail/Pass: two cycles, registration of results, consequences of failing

Pass rate and performance on quiz

The pass rate per quiz is 70%. Questions in quizzes are weighted depending on their complexity, so trying to calculate scores might prove to be not very useful.

The detailed correct answers on each quiz are not visible in the system. This function was deliberately turned off, as this could facilitate attempts to copy and paste correct answers and circulate them to peers. The best way to improve the score on a failed quiz is to read again the relevant documentation and try another time.

Recording of results

A certificate is awarded for each quiz that has been successfully passed. This will be recorded and kept in the system (recording time is set to Australian time where the server of the system is located). It is only necessary to re-do the quiz(zes) that have/has not been passed. A certificate can also be generated for each group of quizzes (e.g. “Chain of Custody” or “Forest Management” or “ISO 19011 and FSC Trade-marks”).

Please take screenshots of your certificates or download them, save them on your computer (whichever option works on your computer) and transfer a copy to the responsible contact person(s) in your Certification Body/ies.

The results of the exam will also be directly communicated by Astra Academy to ASI for their information and documentation.

The Certification Bodies are required to register their auditors in the FSC Auditor and Training Registry. The certificates of their auditors do not need to be uploaded, but must be kept for documentation. For more details please check the relevant ASI procedure: <http://www.accreditation-services.com/resources/document-library/download-info/asi-pro-20-113-fsc-auditor-registry-transition-procedure>).

With the recording of your quiz results some technical issues can arise, due to either poor or intermittent internet connection or due to security settings on servers: There have been a couple of cases where results of quizzes have not been recorded in the database. Testing the e-learning platform after such cases has proven that the platform works properly and that these issues relate to very specific individual cases only. Considering the above, it is still recommended to:

- a) allow a few seconds for the software to write into the database (wheel turning) after you close a quiz. This could take a few seconds, especially on a poor internet connection; fast internet connections can also experience sometimes heavy data traffic.
- b) take screenshots of the final screen on each quiz, where the score is visible, before closing the quiz and save them on your computer.

In case your records do not show in the course results, please contact the technical support directly from the e-learning platform or by e-mail (to info@astracademy.net). If possible, the time (clock) on your computer should be visible on the screenshots.

Another way to solve such problems is to use a different browser, or try to log in from a different computer or from a different location/server (e.g. home vs. office).

Signing up for the second cycle

If you have failed two times (i.e. the first cycle) you are expected to (“should”) take an in-person training on the respective parts (cf. T&C EN Version p. 7 “What are the pass/fail criteria”, second paragraph). There is no intention and also no practical way to check if this is being followed. So in the end it is left to the Certification Body or the auditor to decide what is the best to do in preparation for the second cycle.

In order to open up for further attempts within the second cycle, please send a message directly from the exam entry page (top right: <http://www.appcobra.com/astracademy/index.html>) or to Liviu Amariei (liviu@astracademy.net) to have the respective quiz(zes) opened for one or – if needed – for another additional time. **Do not re-register with the registration form/template for the second cycle.** This would lead to confusions.

The time given for the second cycle is also one month – starting from the moment of the confirmation e-mail sent by Astra Academy to you to inform about opening further attempts on the second cycle.

IMPORTANT Specification: Consequences of failing the exam or parts of it for four times

If also failing the 2nd cycle, the T&C state that examinees “will lose their qualification as FSC auditor and will need to undergo initial qualification again” (EN Version, p. 7). There is a need for further specification about this: **A complete initial qualification** as to FSC STD-20-004 V 4-0 and FSC PRO-20-001 V 1-2 shall **only** be done **if critical parts of the exam have not been passed successfully four times** (two cycles of two attempts each). In the below **table # 1 the “x” marks these critical parts**. If ALL these parts are failed in two cycles (i.e. four attempts), the auditor shall undergo the complete initial qualification as outlined in FSC-STD-20-001 V 4-0 Annex 2 again and following the FSC-PRO-20-004 V 1-2.

For all other cases, specifications as outlined in the below **table # 2 apply**. Auditors who have failed the respective quizzes in these sections may continue working as FSC auditors (exception is CW – please see below) but shall complete the training as outlined below a.s.a.p. but no later than within the period of one year after the end of the transition exam (i.e. 30. June 2018). The respective employing Certification Body is responsible to assure that this is implemented. ASI may spot check on this for verification.

Please Note the following regulation for CW: Auditors who are qualified for FM with CW and/or CoC with CW and have passed the quizzes about FM (2a) and/or CoC (3a), but not the respective parts 2b and/or 3b with four attempts, do not lose their qualification for CoC and/or FM, but shall not be eligible for auditing CW any longer – unless they re-qualify as outlined in the below table #2. (e.g.: An auditor registered for FM with CW who fails the FSC FM Controlled Wood Evaluations quiz will have to be re-trained on controlled wood before he/ she can conduct such evaluations, without losing the FM qualification in the meantime.)

Table #1: Failing all parts (marked with “x”) of the exam in the respective scope with four attempts require complete initial qualification:

Part #	Title of Part	Quizzes included in the respective part	Critical to pass	
			FM	CoC
1	ISO/Auditing	Auditing Techniques ISO 19011	X	X
2.A	Forest Management Certification	FSC FM Accreditation STDs	X	
		FSC P&C+IGI and general aspects of FSC certification	X	
2.B		Supporting FM Standards, Policies, Procedures and Interpretations of the normative framework		
3.A	Chain of Custody Certification	FSC FM Controlled Wood Evaluations		
		General knowledge of the FSC CoC framework		
		The main FSC CoC Standard		X
		FSC CoC Accreditation standards		X
3.B		Other CoC Standards and supporting normative documents and interpretations of the normative framework		
4	TM Requirements	The FSC Controlled Wood standard		
		FSC Trademark Requirements (questions presented in lesson format, rather than quiz format)		

For example:

An auditor registered for CoC (with CW), who fails the quizzes on Auditing techniques ISO 19011, the main FSC CoC Standard and the FSC CoC Accreditation standards will have to undertake a complete initial qualification again.

Table # 2: Failing the respective below parts four times the following applies:

Part #	Title of Part	Quizzes included in the respective part	consequence
1	ISO/Auditing	Auditing Techniques ISO 19011	In-person ISO 19011 training as to the requirement of FSC PRO-20-004 V 1-2 ¹ & 1 main evaluation or surveillance audit as an active member of the audit team supervised by qualified auditor including a supervising report
2.A	Forest Management Certification	FSC FM Accreditation STDs	In-person training on this part as to FSC-PRO-20-004 V 1-2 & 1 main evaluation or surveillance audit as an active member of the audit team supervised by qualified auditor including a supervising report
		FSC P&C+IGI and general aspects of FSC certification	In-person training focused on this part as to the requirement of FSC-PRO-20-004 V 1-2 & 1 main evaluation or surveillance audit as an active member of the audit team supervised by qualified auditor including a supervising report
		Supporting FM Standards, Policies, Procedures and Interpretations of the normative framework	In person training on this part as to FSC-PRO-20-004 V 1-2
2.B		FSC FM Controlled Wood Evaluations	In-person training about CW as to the requirement of FSC-PRO-20-004 V 1-2 & 1 main evaluation or surveillance audit addressing CW aspects as an active member of the audit team supervised by qualified auditor including a supervising report
3.A	Chain of Custody Certification	General knowledge of the FSC CoC framework	As this quiz is testing the overall understanding of the CoC framework, this in-person training for examinees who have failed this sections four times shall encompass a crosswalk through all CoC normative documents highlighting the most important aspects and is expected to fill the existing gaps of the examinee.
		The main FSC CoC Standard	In-person training about the main CoC STD 40-004 V 3-0 as to the requirement of FSC-PRO-20-004 V 1-2 & 1 main evaluation or surveillance audit as an active member of the audit team supervised by qualified auditor including a supervising report
		FSC CoC Accreditation standards	In-person training about the main CoC STD 40-004 V 3-0 as to the requirement of FSC-PRO-20-004 V 1-2 & 1 main evaluation or surveillance audit as an active member of the audit team supervised by qualified auditor including a supervising report
		Other CoC Standards and supporting normative documents and interpretations of the normative framework	In-person training on this part as to FSC-PRO-20-004 V 1-2
3.B		The FSC Controlled Wood standard	In-person training about CW as to the requirement of FSC-PRO-20-004 V 1-2 & 1 main evaluation or surveillance audit addressing CW aspects as an active member of the audit team supervised by qualified auditor including a supervising report
4	Trademark Requirements	FSC Trademark Requirements (questions presented in lesson format, rather than quiz format)	Suspended from TM verification. TM approval can only be done again, if the FSC TM online training and quiz has been successfully completed on FSC's eTrainingPlatform (https://etraining.fsc.org/).

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¹ "As to the requirements of FSC-PRO-20-004" implies an in-person training by an approved training provider or an approved training program delivered by the CB and a written exam.