General Requirements for an FSC Training Programme

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The Forest Stewardship Council (FSC) is an independent, not-for-profit, non-government organization established to promote environmentally appropriate, socially beneficial, and economically viable management of the world’s forests.

FSC’s vision is that the world’s forests meet the social, ecological, and economic needs of the present generation without compromising the rights of future generations.
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Foreword

This new procedure is based on FSC’s conviction that there is a need for more specific qualification and training requirements for auditors. It also responds to the demands put forward by Motion 52, Training and Qualification Requirements for FSC Audit Teams, which was passed during the 2014 FSC General Assembly.

FSC invited members of its global network and certification bodies to form an expert advisory group (EAG) to advise on and support the elaboration of an auditor training framework. The EAG’s work focused on amending the relevant parts of FSC-STD-20-001 V3-0, as a contribution to the revision of that standard by a working group (WG). The EAG’s work took into account the 2012 ISEAL Auditor Training Project: Framework for Developing an effective Auditor Training Program, (2012), the requirements of the International Register of Certificated Auditors (IRCA), and relevant ISO documents (see references section below). Eventually, this work resulted in separating parts of the qualification and training requirements into this new procedure.

Feedback throughout the whole process was given by the WG for the revision of FSC-STD-20-001 V 3-0, and during two rounds of consultation rounds, one public and one technical, in the summer and autumn of 2015.

Version History

Version 1-0 (approved 10 March 2016 by the FSC Board of Directors): initial version

Version 1-1 (approved 10 August 2016 by the FSC Director General): identical version with an extension of the transition period by three month to 30 June 2017 due to a delay with the publication of the transition exam (cf. below Note 2)

Version 1-2 (approved 14 September 2016 by FSC Policy Director): the transition date was revised due to interdependences with FSC-STD-20-001 V 4-0 in regard to training requirements.

A Objective

This procedure specifies requirements for training auditor candidates and auditors to qualify or further qualify them to audit against FSC’s scopes of certification (‘FSC scopes’). The objectives of this procedure are:

1) to ensure a professional implementation of the FSC Training Programme
2) to define the general content and duration of courses for an initial training on FSC (one component of the FSC Training Programme).

B Scope

This procedure is for use by all entities implementing the FSC Training Programme. It specifies FSC requirements for an initial training as part of the qualification requirements for auditor candidates, as well as for on-going training as part of continuous qualification requirements for auditors already qualified for FSC’s certification scopes (cf. FSC-STD-20-001 V4-0, Annex 2).

All aspects of this procedure are considered to be normative, including the scope, procedure, effective date, references, terms and definitions, notes, and tables, unless otherwise stated herein.
C Effective and validity dates

<table>
<thead>
<tr>
<th>Approval date</th>
<th>10 March 2016</th>
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<tbody>
<tr>
<td>Publication date</td>
<td>01 April 2016</td>
</tr>
<tr>
<td>Effective date</td>
<td>01 April 2016</td>
</tr>
<tr>
<td>Transition phase*</td>
<td>01 April 2016 – 31 March 2017 (except for transition exam see Note 1 and 2)</td>
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<tr>
<td>Period of validity</td>
<td>Until replaced or withdrawn</td>
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* Note 1

FSC-accredited certification bodies shall adapt their accredited systems (as needed) to ensure conformity with this version of the procedure by the end of the transition phase. The period for taking the transition exam has been extended to 30 June 2017.

Note 2

While this procedure as a whole applies to all currently qualified auditors, they will not be obliged to take the initial training outlined in Part 2. However, they will need to undergo a knowledge test, in the form of an online exam, elaborated by FSC, about the requirements of the procedure. They must take the exam between the effective date (1 April 2016) and 30 June 2017.

‘Currently qualified auditors’ refers to people qualified as auditors for FSC’s certification scopes according to the qualification requirements specified in FSC-STD-20-001 (version 3, or previous versions) before end of the transition phase of this procedure (31 March 2017).

D References

The following referenced documents are relevant for the application of this document. For undated references, the latest edition of the referenced document (including any amendments) applies.

- FSC-STD-20-001 V 4-0: General Requirements for FSC-accredited Certification Bodies
- FSC-STD-01-002: FSC Glossary of Terms
- IRCA Certification Criteria for Environmental Management Systems Auditor/Lead Auditor Training Course
- ISO 29990, 2010: Learning Services for Non-formal Education and Training – Basic Requirements for Service Providers
- DIN EN ISO/IEC 17021, 2011-07: Conformity Assessment – Requirements for Bodies Providing Audit and Certification of Management Systems
- DIN EN ISO/IEC 17024, 2012-11: Conformity Assessment – Requirements for Bodies Operating Certification of Persons
- DIN EN ISO/IEC 17065, 2013-01: Conformity Assessment – Requirements for Bodies Certifying Products, Processes and Services
- ISO 19011, 2011: Guidelines for Auditing Management Systems
- DIN EN ISO/IEC 17000, 2004: Conformity Assessment – Vocabulary and General Principles
E Terms and definitions

For the purposes of this procedure, the terms and definitions provided in *FSC Glossary of Terms* (FSC-STD-01-002), *Conformity Assessment – Vocabulary and General Principles* (DIN EN ISO/IEC 17000, 2004), and the following apply:

**Competence:** The demonstrated ability to apply knowledge, skills, and personal attributes in order to achieve intended results (adapted from DIN EN ISO/IEC 17065, 2013-01).

**On-going training:** Training each qualified auditor shall undergo on an annual basis. This training is about changes in the FSC system or according to the needs of an individual auditor (cf. Annex 2 of FSC-STD-20-001 V4-0 for more details).

**Days:** Timelines mentioned in this procedure in days refer to business days unless otherwise specified.

**FSC auditors:** Auditors qualified for auditing against one or all FSC scopes (specification about qualification requirements cf. FSC-STD-20-001 V4-0, Annex 2)

**FSC Training Programme:** A framework that encompasses implementation requirements (Part 1 of this procedure) and content requirements (Part 2) for ‘FSC training’ (cf. Annex 2 of FSC-STD-20-001 V4-0). Part 1 gives requirements for initial training of FSC auditor candidates and for on-going training of FSC auditors. Part 2 is only about initial training.

**Initial training:** Comprehensive training on the FSC system to qualify as auditor of one or all FSC scopes. The content and duration of an initial training is outlined in Part 2 of this procedure.

**Lecture:** The delivery of information or of theory to a group of people. Unlike training, a lecture does not focus on active trainee involvement.

**Trainee:** Any person participating in a training course.

**Training:** Interactive (sequence of) session(s) delivered by at least one trainer. While lecture(s) may be part of training, it is only one of a set of varied methods (e.g. discussion rounds, role plays, case studies, or individual and group work) used for the active engagement of trainees for the development or improvement of their competence(s).

**Trainer:** An experienced auditor competent in auditing against FSC scopes with an additional competence in delivering the core content of the FSC Training Programme

**Training provider:** An entity that delivers part or all of the FSC Training Programme. This may be an FSC-accredited certification body or an external training service provider.

**Resource person:** An expert competent in a topic who complements a trainer or trainers in implementing the FSC Training Programme. The topic may be a specific subject related to FSC certification requirements (e.g. high conservation value - HCV), more generic (e.g. history of FSC), or cover regional or cultural aspects relevant to auditing against FSC certification requirements. Resource persons are not necessarily qualified as trainers.
Verbal forms for the expression of provisions
[Adapted from ISO/IEC Directives Part 2: Rules for the structure and drafting of International Standards]

“Shall” indicates requirements strictly to be followed in order to conform to the procedure.

“Should” indicates that among several possibilities, one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required. A certification body can meet these requirements in an equivalent way provided this can be demonstrated and justified.

“May” indicates a course of action permissible within the limits of the document.

“Can” is used for statements of possibility and capability, whether material, physical, or causal.
Part 1: Implementation Requirements for the FSC Training Programme

1. General

1.1 The following outline specifies implementation requirements for initial and on-going FSC training.

1.2 The FSC Training Programme may be implemented by FSC-accredited certification bodies, or external training service providers, or both. Throughout this document these two entities are referred to as ‘training providers’.

1.3 The FSC Training Programme shall be approved by Accreditation Services International (ASI) to assure adherence to the requirements of this procedure, and shall be assessed on an annual basis. For FSC-accredited certification bodies, this may be part of the annual office assessment.

1.4 Training providers shall be registered with ASI. Only training providers approved and registered with ASI are eligible for providing training to FSC auditor candidates and FSC auditors.

1.5 FSC may specify that certain online courses delivered by FSC are mandatory as part of initial or on-going training. The certificate(s) for this/these course(s) are valid proof of the respective part of the qualification within initial or on-going training.

2. Management and administrative requirements

2.1 Procedures

2.1.1 The training provider shall develop written procedures for the implementation of the FSC Training Programme. Procedures shall be in place for:

a) the design and development of the FSC Training Programme according to the requirements outlined herein

b) the collection of regular feedback from trainees and their trainers about the FSC Training Programme and its implementation

c) the integration of the above-mentioned feedback and results of other evaluations into the revision of the course provided by the training provider, on at least an annual basis

d) the integration of new requirements, interpretations or changes made by FSC to its normative documents into the content of the training provider’s training courses and training materials

e) the control of the FSC Training Programme publicity, advertising, and the use of the FSC trademarks, if applicable

f) the storage and management of records related to the fulfilment of the requirements for training outlined herein

g) the selection, monitoring, and evaluation of trainers

h) the evaluation and certification of trainees

i) the issue and withdrawal of training certificates.

2.2 Records

2.2.1 The training provider shall maintain records related to the implementation of FSC requirements for at least seven (7) years, if not specified differently.
2.2.2 Records shall be accurate, complete, legible, and readily accessible for evaluation by ASI.

2.2.3 The records shall include:
    a) documentation showing the title, venue, and dates of each course and responsible trainer(s) within the FSC Training Programme
    b) a list of all trainers specifying:
        i. their qualification
        ii. the results of monitoring and evaluating their performance as trainers
    c) a list of all trainees specifying:
        i. the course(s) attended
        ii. certificates granted, and the dates and places where the courses took place for which certificates were awarded
    d) documentation demonstrating the qualification status of all trainees (i.e. results of monitoring and evaluation including pass/fail decisions, examination sheets filled in by trainees), which shall be available to ASI during relevant assessments
    e) the course evaluation sheets filled in by the trainees for the FSC Training Programme.

2.3 Trainers and training team

2.3.1 For the delivery of training on the FSC system, the training provider shall appoint a/the trainer(s) and – where necessary – select resource person(s).

2.3.2 A/the trainer(s) may be complemented by (a) resource person(s).

2.3.3 Resource person(s) do not need to be trainers but are required to be competent on their topic.

2.3.4 In appointing a trainer, the training provider shall ensure that this person:
    a) is qualified as auditor for forest management (FM) or chain of custody (CoC), including controlled wood (CW), or for all FSC certification scopes – depending on the content trained
    b) has gained at least three (3) years of demonstrated professional experience as an auditor in the relevant FSC certification scope
    c) has training competence proven by a tertiary degree in education, previous relevant training experience or by attendance (certificate with content description) of a ‘Training of Trainers’ (ToT) course, according to the content requirements of this procedure (cf. Part 2)
    d) has been witnessed by the training provider in delivering relevant content (or parts of content) before being appointed as trainer.

2.3.5 For quality assurance regarding the performance of their trainer(s) the training provider shall:
    a) monitor and evaluate their trainers through a review of the written feedback given by trainees (see 2.1.1b) and, if necessary (e.g. due to repeated negative feedback by trainees), through witnessing a course session
b) ensure that their trainer(s) stay(s) updated about relevant changes and interpretations in the FSC system.

c) provide them with further training opportunities if necessary.

2.3.6 In cases where a trainer cannot cover content or cultural aspects specific to a region or country in which a group of trainees needs to be trained, the trainer shall be complemented by a resource person with the required competence.

2.3.7 In cases where the training cannot be held in one common language spoken by trainer(s) and trainees on a professional working level, the training provider shall provide an interpreter proficient in the relevant technical vocabulary and concepts for translation services. This interpreter may be a bilingual employee/contractor.

2.4 Certificates

2.4.1 A certificate of successful completion shall be provided to each trainee who has passed a final written exam and obtained a positive training performance evaluation (see 3.6) for the FSC Training Programme. The certificate shall:

a) state that the respective training course is part of the FSC Training Programme and approved by ASI

b) clearly show the name of the training provider, as registered with ASI

c) identify the content of the training with a title

d) include the trainee’s full name

e) state that the trainee named has successfully completed the training

f) state the date when the training was completed.

2.4.2 Certificates of ‘attendance’ may be issued to trainees who attend a full course, and who have not passed the written examination. Such certificates are not a valid proof of auditor qualification.

2.5 Confidentiality

2.5.1 The training provider shall have adequate arrangements to safeguard the confidentiality of all information provided by trainees.

2.5.2 The training provider shall not disclose information about a trainee to a third party without the written consent of the trainee, or unless specified differently (2.2.3 d). Certificates are excluded from this requirement.

2.5.3 Communicating relevant information about trainee performance during (a) training course(s) with their human resource manager is not subject to this requirement of confidentiality.

2.5.4 The training provider shall have adequate arrangements that confidential issues revealed in the training are not disclosed to a third party.

2.6 Changes to the FSC training programme

2.6.1 The training provider shall ensure that the training stays up to date. To this end, the training provider shall incorporate all relevant changes made to the FSC system in particular, including all relevant revisions, interpretation(s) of FSC’s normative documents, and newly created normative documents.

2.6.2 Following a decision on, and publication of, changes in the FSC system, the training provider shall implement all necessary adaptations in a timely manner.
Depending on the extent of changes, these adaptations shall be carried out as soon as possible, but before the end of a period of three months.

2.6.3 The changes to training require verification by ASI at the latest through the next upcoming annual office audit of the training provider. This may be the annual audit of the following year, if there is not adequate time for a three-month phase for the implementation of major changes (cf. 2.6.2).

2.6.4 The training provider shall ensure that each trainer is able to carry out any necessary adjustments to their training following the incorporation of changes.

2.6.5 The training provider shall notify ASI of any change of address or any significant changes in organizational structure or provision of services.

3. Requirements for the delivery of training

3.1 Learning objective(s)

3.1.1 The training provider shall define (a) learning objective(s) of the training delivered that is adapted to the level of competence of the trainees.

3.1.2 Achievement of the learning objective(s) shall be verified by the training provider (see section 3.6.).

3.2 Training content

3.2.1 The title and the arrangement/sequence of the required content is flexible, but the overall content frame and the total duration of the FSC Training Programme as defined in Part 2 of this procedure shall be respected. Exceptions to this need to be justified in writing.

3.2.2 Before the start of the course, trainees should be provided with an overall training schedule including title, outline of content, learning objective(s), and a timetable.

3.2.3 A detailed description shall be available for each course, which includes the following elements:

   a) title and overall duration
   b) description and focus
   c) learning objective(s)
   d) list of topics to be addressed
   e) schedule and teaching methods/techniques to be employed
   f) list of resources: hand-outs if relevant, supporting documents/normative documents and background readings list as needed, and links to outside resources if the training provider deems that this is necessary.

3.3 Training methods

3.3.1 Training methods shall seek to involve and engage trainees and encourage them to exchange knowledge and experience throughout the course.

3.3.2 Training techniques shall be appropriate to the content delivered and to the learning objectives to be achieved.

3.3.3 The training courses shall have a practical orientation by providing trainees with realistic examples, case studies, simulations, or field visits.
3.3.4 Each trainee shall be provided with adequate training materials. These might include reading material, relevant FSC normative document(s), instructions for activities, or handouts, as relevant.

3.3.5 Lecture(s) may be presented online but should include an (online) knowledge check (i.e. quiz/test). Presenting lectures online is under the condition that the online component is closely linked to an in-person session with sufficient practical exercise assured for the development of competences, and that the learning objective(s) are achieved. In exceptional cases, if the content is not very comprehensive and complex (e.g. information about interpretations) and it is for on-going training sessions, lectures may presented online only.

3.4 Class size and attendance

3.4.1 For classroom (in-person) training, the number of trainees in a group should not exceed twenty (20). Exceptions are possible for lectures with large groups if these are followed by smaller group activities for developing competence.

3.4.2 Trainees shall be required to be present for a minimum of 95% of the full duration of the training. Failure to do so shall be reflected in the trainee's continuous and final evaluations.

3.5 Number of trainers

3.5.1 Throughout the training, at least one trainer takes the lead for the instruction and management of the group of trainees.

3.5.2 Groups that are larger than ten (10) should be accompanied by two (2) trainers.

3.6 Evaluation of trainees

3.6.1 Each trainee shall be evaluated during initial training as well as during on-going training.

3.6.2 Trainees shall take a final written exam at the end of the initial and on-going training. The pass rate is 70%.

3.6.3 For on-going training, a written exam is not required if the training is about minor changes in the FSC system (e.g. interpretations to normative documents).

3.6.4 The training provider may develop its own exam(s). Complexity and duration shall be aligned to the duration and relevance of the overall training.

3.6.5 The exam(s) may be open book exams, allowing trainees to consult FSC’s normative documents, their notes, and hand-outs provided during the training.

3.7 Grading and pass/fail decisions

3.7.1 The overall grading shall be based on evaluating the trainee according to their achievement of the learning objective(s), and their ability to apply audit principles and practices against the requirements of the relevant FSC normative document(s) by using the following two independent elements, both of which shall be satisfied if the trainee is to successfully complete the training:

   a) monitoring by the trainer(s) of each trainee’s performance throughout the whole training

   b) an evaluation through a written exam that tests the trainees' learning progress against the defined learning objective(s) as specified under 3.6.2.
3.8 **Re-examination**

3.8.1 A trainee who fails the written exam, but whose performance throughout the training is classified as ‘passed’, shall be allowed one re-examination within twelve (12) months. A different examination paper shall be used for the re-examination.

3.8.2 A trainee whose performance throughout the training is classified as ‘failed’ shall take the complete FSC Training Programme again before being eligible to receive a certificate of successful completion.

3.8.3 A trainee who fails the re-examination must take the complete FSC Training Programme again before being eligible for another examination.
Part 2: Content and Duration Requirements for the FSC Training Programme

1. General

1.1 The following outlines of content and duration requirements for initial training of auditor candidates current as at the publication date of this procedure. Future changes in the FSC system need to be integrated as required (see Part 1, 2.6).

1.2 The duration requirement refers to in-person training. Two hours of in-person training are seen as equivalent to one hour of online training.

1.3 Duration and content requirements for on-going training are not addressed in this section. These are subject to changes in the FSC system, and should also be defined according to the needs of an already-qualified FSC auditor.

2. Generic FSC training

2.1 All auditor candidates shall complete training about generic aspects of the FSC system.

2.2 The content of generic training shall include:

- The history and objectives of FSC
- structures and relationships within the FSC system relating to its main stakeholders (members, ASI, FSC, regional and national offices, certificate holders, license holders, and certification bodies)
- FSC and other forestry certification schemes (Sustainable Forestry Initiative, Canadian Standards Association, Program for the Endorsement of Forest Certification etc.)
- roles and responsibilities in certification according to FSC’s normative documents
- potential effects and impacts of certification
- overview of FSC’s normative system and its structure
- the FSC dispute resolution system management system
- FSC and timber legality legislation
- conflict of interest definitions and requirements.

2.3 Generic FSC training may be delivered as wholly online training, with a duration of two (2) hours. If delivered as wholly in-person training, it shall last at least four (4) hours.

3. The FSC trademark system and its requirements

3.1 All auditor candidates involved in approval of trademark use shall complete training about the FSC trademark system.

3.2 The content of the trademark training shall include

- roles and responsibilities in the licensing, use, and control of FSC trademarks
- general requirements for FSC trademark use
- requirements for use of the FSC label on products
- promotional use of FSC trademarks
• graphic requirements for trademark use
• requirements for specific situations or certificate types.

3.3 Training on trademarks may be delivered as wholly online training with a duration of one (1) hour. If delivered as wholly in-person training, it shall last at least two hours.

4. FSC auditing in relation to ISO 19011

4.1 All auditor candidates who are not in possession of a formal ISO 9001, ISO 14001, or OHSAS 18001 certificate shall complete training on ISO 19011.

4.2 The content of an ISO 19011 course shall include:
• principles of auditing
• managing an audit programme
• audit programme objectives and extent
• audit programme implementation
• audit programme records
• audit programme monitoring and reviewing
• audit activities: initiating the audit; conducting document review; preparing for the on-site audit activities; conducting on-site audit activities; preparing, approving and distributing the audit report; completing the audit; and conducting audit follow-up
• practical audit examples from the FSC context.

4.3 If delivered as wholly in-person training, a course on ISO 19011 shall last at least eighteen (18) hours.

5. ‘Training of Trainers’ Course

5.1 Auditors qualified for FSC’s certification scopes but not yet competent as trainers (cf. 2.3.4c) and who intend to become trainers for the FSC Training Programme shall complete a ‘Training of Trainers’ (ToT) course.

5.2 The content of a ToT course shall include:
• principles of adult learning and education (i.e. categories of competence: knowledge, skills and attitude; adult learning circle)
• customization of course design
• basics of training and teaching (i.e. facilitation of training sessions, guidance of learning processes)
• development and/or selection of customized course material
• interactive training methods.

5.3 If delivered as wholly in-person training, this course shall last at least twelve (12) hours.

6. Forest Management

6.1 All auditor candidates intending to qualify as auditor against FSC’s FM scope shall complete training on FM and CW.
6.2 The content shall include:

- overview of general requirements for FM application (quality management system, scope, etc.)
- the FSC Principles and Criteria
- national and interim national standards and the role of the international generic indicators (IGIs)
- FSC’s stakeholder consultation process and its application
- the FM certification process and certification decision making
- group certification for forest management;
- certification of small and low-intensity managed forest
- social requirements within certification
- legal and customary rights of Indigenous peoples, as addressed in the UN Declaration on the Rights of Indigenous Peoples, national laws, and Indigenous laws
- evaluation of high conservation values
- CW evaluation and certification
- FSC’s pesticides policy and its implementation
- Non-timber forest products (NTFP)
- Forest certification for ecosystem services (ForCes);
- FM certification report writing.

6.3 If delivered as wholly in-person training, this course shall last at least thirty-two (32) hours.

7. Chain of custody

7.1 All auditor candidates intending to qualify as auditor against FSC’s CoC scope shall complete training on CoC.

7.2 The content shall include:

- overview of general requirements for CoC application (CoC management system, scope, concept of product groups, material sourcing/handling/accounting, systems for controlling FSC claims etc.)
- group and multi-site certification
- CW in the context of CoC
- sourcing of reclaimed material
- project certification
- the CoC evaluation process: certification process and certification decision making
- CoC certification report writing.

7.3 If delivered as wholly in-person training, this course shall last at least eighteen (18) hours.