Welcome! And Thank you for joining our webinar. We had over 700 people enroll for our three webinars, we appreciate your participation.

The purpose of today's session is to share information/answer questions regarding the recently enhanced APSCA Code and Standards of Professional Conduct and Part I, II and III of the CSCA Exam.

My name is Kelly-Jo Potts and I am the Member Services Manager and I am joined today by our President and CEO Rona Starr.

We received quite a few questions during the enrolment process and questions throughout the webinars – which have also been incorporated

We have a lot to cover so will get started and I will hand over to Rona.
Our agenda is focussed on 3 main topics
APSCA as an organisation
The Code and Standards of Professional Conduct
The CSCA Exams
APSCA is an industry association, whose members represent a substantial majority of the Social Compliance audit industry.

Independent social compliance auditing continues to shift to the forefront of corporate social responsibility. And is now estimated to exceed USD300M.

As the leading industry association, APSCA exist to enhance the professionalism, consistency and credibility of the individuals and organizations performing independent social compliance audits.
APSCA started in 2015 with 9 founding members and since 2016 when the organisation started accepting new members we have grown to have 46 member firms and 3861 auditors as of a few moments ago.
APSCA’s Vision & Mission

Vision
Members are Trusted professionals in Social Compliance Auditing

Mission
To increase the value and effectiveness of independent social compliance audits by enhancing the **professionalism**, **consistency** and **credibility** of individuals and organizations performing them.

The founding members built APSCA with a Mission of:

to increase the value and effectiveness of independent social compliance audits, by enhancing the professionalism, consistency and credibility of individuals and organisations performing them.

We went on to establish our Vision of being

APSCA Members are the Trusted Professionals in Social Compliance Auditing

Everything APSCA has developed since 2016 has been with this vision and mission in mind.

Building Credibility Promoting Trust was the theme of our 2018 AGM and Stakeholder Event and continues to be our focus throughout 2019 and beyond
As the terminology ASCA and RA/ CSCA are fundamental to all things APSCA let’s cover these terms and Auditor Enrolment before we get into the Code and Exam.

Please note that this information is located within the Competency Framework which has been in place since 2017. Both the Code and Competency Framework are available via our website. You will see a link on the front-page left-hand side

**ASCA** is an Associate Social Compliance Auditor and represents an entry-level person who is enrolled with APSCA and gaining experience under the supervision / guidance of a RA/ CSCA (will describe in a few minutes)

ASCA’s have received classroom training with an APSCA Member Firm and shadowed a minimum of 3 social compliance audits. They have been signed off by a Member Firm as competent in meeting ASCA Level competencies. Received on-site/ in field training by an APSCA Member Firm or accredited training organization

Their responsibilities are:
- Participate in social compliance audits as a team member
- Supervised by an RA/ CSCA during all audits

### Auditor Enrollment Levels

<table>
<thead>
<tr>
<th>ASCA</th>
<th>RA / CSCA</th>
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<tbody>
<tr>
<td>Associate Social Compliance Auditor</td>
<td>Certified Social Compliance Auditor</td>
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<tr>
<td>&lt; 100 social compliance audit days</td>
<td>&gt; 100 social compliance audit days</td>
</tr>
<tr>
<td>Must conduct audit accompanied by RA/ CSCA. Cannot audit alone.</td>
<td>Exam</td>
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**Building Credibility Promoting Trust**
• Does not independently make decisions or call out findings or non-compliances
• Adhering to the principles within APSCA Code

An RA (Registered Level Auditor) / CSCA (Certified Social Compliance Auditor) is an experienced social compliance auditor who has meet the following requirements:

• Obtained the level of ASCA
• Been signed off by a Member Firm as competent in meeting the competencies noted within the Competency Framework
• RA is eligible to sit the CSCA exams,
• In order to obtain RA level status, the auditor must have a minimum of 1 year’s experience in social compliance auditing AND
• A minimum of 100 social compliance audit days experience and has provided an audit log signed by both the auditor and at least 1-member firm.

OR
• Minimum 2 years experience in any other type of auditing and
• 150 audit days, of which a minimum of 50 are social compliance audit days.
• Other audit days may include management systems, health and safety, labor inspections, investigations audit components to name a few

• We will shortly be bringing out a third pathway which the Executive Board approved at our last meeting and this have the following requirements:
  • 5+ years in the social compliance or subject related industry in various positions, with a minimum of 35 social compliance audit-days and additional experience which may include:
    • training,
    • supervisory / managerial
    • previous parallel experience such as implementing social compliance program and/or
    • audit review

Pathway 3 also requires a letter stating what additional experience has been obtained and a statement from management of an APSCA Member Firm as to why this auditor should be considered for Pathway 3.
Upon the above items for pathway 3 being completed, the auditor **MUST sit and pass** Part I of the CSCA exam prior to be allocated to the level of RA.

As Pathway 3 has only been approved, the Competency Framework is currently undergoing enhancement. This will be updated on our website shortly.

**Responsibilities for RA/ CSCA include:**
Conduct social compliance audits independently and/or as part of a team
Organizes, directs and manages audit team members in preparation, during and after the audit
Supervises ASCAs
Approving and signing off on the audit report

A CSCA has successfully passed all 3 parts of the CSCA exam which we will talk about a bit
later.

We are excited to say that we are on track to announce our first round of CSCAs at our AGM/ Stakeholder Event in December this year.

ALL Members (firms and auditors) have signed the Code

Giving you some foundational information regarding APSCA and some terminology we will start with a couple of questions that were raised during the enrollment for the webinar.
One of the questions received - How does APSCA approve auditors and is there an evaluation about criteria of a social auditor?

APSCA does not approve auditors, we enroll them. Each auditor upon initial enrollment must be connected with at least 1 Member Firm. They can be employed, full-time or part-time subcontractor or freelance. But an audit firm needs to identify the auditor to APSCA.

The auditor needs to provide consent for us to maintain their information
Provide a professional image (passport style photo)
Sign the Code and Standards of Professional Conduct.
Pay annual Membership Fees (either firm or auditor)
They will be enrolled with APSCA as an ASCA

Auditor then needs to provide an Audit Log which is signed by themselves and at least 1 APSCA member firm which demonstrates that they meet Pathway 1 or 2. If they demonstrate this, they will be identified as a RA and therefore eligible to sit Part I of the CSCA exam. During this establishment period

Audit logs are all reviewed to ensure they meet at least one of the pathways which entitle them to become a RA. There are no exceptions to this policy.
Until all of this is provided and reviewed, the auditor will remain ASCA and unable to commence the examination process.

If an auditor leaves a Member Firm, their membership remains with them as their membership is linked to the individual not the firm – which is why if an auditor is working on behalf of a number of firms, they have one membership number. Should the auditor not be attached to another firm the following calendar year and not able to be contacted by us regarding payment of the years Members Fees, they will be moved to inactive and therefore not considered a Member of APSCA. But once a Member as long as they stay current with Membership Fees they do not lose their membership. However remember a Member Auditor can only use APSCA Member Number when conducting the audit on behalf of a Member Firm. We will talk about use of Member Number a bit later. We will also talk about Ethics & Integrity.

A question we had earlier – is how can an auditor be moved back to active. Please contact APSCA to discuss why you are inactive and how to reinstate your membership.

An auditor can be linked to more than one Member Firm. If you are a subcontractor/freelance auditor and working on behalf of multiple Member Firms, please let us know with a cc to the firm or if you are a firm/ the auditor in copy. Both parties are to confirm the linkage. We will not link an auditor and firm together without approval of both parties

Should you NOT wish to be linked with the firm or auditor all you need to do is let us know that you do not approve the link and it will not occur. We will not share that information with the other party.
Via our website auditors information can be validated at a high level
You can’t go searching for auditors but if you have their name and membership number
you can validate the information

Once that information has been placed into the website you click “search”
AND... You will see the following information

Now don't put this information in because it is all dummy information
I do not exist as a Member Auditor AND the membership number is fake....

Name
APSCA Membership Number
APSCA Level
Membership Status and
a photo

Which is why we insist on your photos being professional – not you at a birthday party, or covered in PPE or with your partner, children, dancing in a street and yes we have received photos of all of these... And More....none of those things are acceptable.... And we do reject the photos and push back. Thing along the lines of passport style photo.

These photos will also be printed on your APSCA Member Card
Which we will be distributing over the coming months
Code & Standards of Professional Conduct (Code)

Clarity:
• Requirements (standards) under Code
• RAs have the rights, responsibilities and obligations of a CSCA
e.g. where noted CSCA consider this to read RA/CSCA
• Investigations of allegations
• Conflicts of Interest
• Competence

The enhanced Code & Standards do not have any major elements which were not contained within the original Code signed by all Members. They have been Reorganized and expanded to include the Standards (also known as rules). As we commenced the development of the Standards we recognised overlap and that reorganisation of the sections was necessary. We also removed the portion which talked about expectations of APSCA as this is not applicable to the Code & Standards signed by members.

The addition of the standards as a subsections under each element, is intended to provide our members with clarification and more detailed requirements related to the obligations under this Code.

One such clarification was to ensure everyone was aware that RAs have the same rights, responsibilities and obligations as a CSCA whilst we are going through this interim process.

All RAs have provided their audit logs for review and have meet either Pathway 1 or 2 which are noted within the Competency Framework available via our website.

Any auditor who has not provided this audit log were moved to the level of ASCA during the month of August.
All new auditors are enrolled at the level of ASCA until they present their Audit Log to validate the level of RA.

Some Members were confused since we didn’t have CSCA and thought that anyone could then conduct the audit e.g. ASCA or RA it didn’t matter – hence we added the clarification. RAs are treated the same as a CSCA

2.3.1.9.2 states that there is a requirement to report to APSCA the results of an investigation where disciplinary action is taken in response to a violation of the Code.

One question received noted: whilst this is welcomed, auditors signed the original code where this wasn’t stated.

This in fact was stated in the original Code

Investigations & Reporting Violations and the requirement to report was noted in the pre-amble, e.g. page 1 of the Code as well as 4.4 – Inform: it is the responsibility of Members to inform APSCA if a violation of the Code occurred, as well as there was a responsibility of APSCA under 5.2 to be transparent regarding suspending, withdrawing certification etc. of Members.

This is not a new expectation and members when they signed the Code should be aware.

Conflicts of Interest: in the original code this was 1.1 ... must be impartial and avoid conflicts of interest that, in fact or in appearance may create an incentive to report anything other than the true and accurate facts gathered during an audit. The new Code is more clear – if you read sections 2.1.3 and 2.1.4 .... Member Firms shall not conduct a social compliance service when the Member Firm – including but not limited to, owners, mangers or auditors have a business interest in the outcome of the service. This includes, but is not limited to, fees or other business contingent on the outcome of the service. All Members shall not perform social compliance services at any facility where the Member Firm its owners or managers have provided social compliance consultancy within the preceding two years.

This includes any member firm or auditor who is running consultancy firms, Member Firms recommending factories to a consultancy firm in order to prepare for the audit. This is a violation of APSCA Code and upon APSCA being made aware, stiff penalties will result, including loss of APSCA Membership whether Firm or Auditor.

It is the Member Firms’ responsibility to deploy social compliance auditors who have demonstrated the right level of knowledge, skills and competency. However If you are an ASCA and you are being sent on an Audit by a Member Firm as the only auditor, you are not accompanied by a RA, it is a violation of the Code by both the auditor AND the firm. You need to ensure that you are reminding your Member Firm of this. We recently had a list of auditors who conducted audits which the report was later sent to an organisation who checked that the auditor was enrolled with APSCA and at the right level, this list was
all Member Auditors who had conducted an audit and at the time of checking was found to not be at the right level. Those member (auditor and firm) will be receiving notices from APSCA regarding the failure to uphold the expectation. Many audit reports may not be asking for the APSCA Member Number yet, but know that these reports may be shared with others who then approach the firm asking for a Member Number.

We recognise that this is a learning curve, however it is important for us all that we start working through this process and ensuring that when we are scheduling audits, that this include looking at the auditor APSCA level.

One question we had asked was for a list of brands/ retailers/ collaborative programs that require APSCA as it was felt that all do not understand the levels of Auditors. It is important for us to note that it is not necessary for brands, retailers or collaborative program to fully understand the expectations which APSCA Members are upholding, it is our responsibility as Members who have signed the Code to ensure that we are executing.
Questions Received

Is APSCA going to receive claims, suggestions, about the behavior of some social auditors and audit firms?

Another question - Will APSCA receive claims about the behaviour of Members.

Yes we have already received issues and you may have seen in our August newsletter which was distributed last week and posted on our website that we held our first Disciplinary Board meeting.

The results of that was that we revoked membership of 2 auditors, they both have the right to appeal, but as of right now, their membership has ceased.

We had 2 which received warnings and one which was not substantiated.

We have another pool of auditors who have been highlighted to us and we are starting the process of sending a note to the auditor requesting that they respond within 30 days. We will be presenting these to the Disciplinary board at our next meeting. The exact date is TBC.

We also have a number of firms who we will be communicating with in the coming weeks as well.
Early we mentioned the responsibility to report violations of the Code

And mentioned the Disciplinary Board meeting a moment ago - We will share the process now.

These allegations will be received by our Ethics & Integrity Manager who will review and follow-up as per our Disciplinary Procedure.

The Jurisdiction of the Disciplinary Board is to oversee the disciplinary process for APSCA. It is authorized to:
• Make rules for the handling of complaints against Member Auditors and the discipline of Member Auditors.
• Hear and decide cases involving alleged acts or omissions that violate the Code.
• Discipline Members when it determines there has been a violation of the Code.
• Take other such actions as is reasonably necessary to ensure an efficient and effective disciplinary system for APSCA.

Membership of the Disciplinary Board
Membership of the Disciplinary Board consist of five representatives, one of which shall be the Chair, as follows:
The Senior Advisor, Ethics & Integrity, is the Chair.
One representative of the Stakeholder Board.
Two Member Firm representatives from a pool of four.
One independent member with a legal, ethics or other relevant background.

Members of the Disciplinary Board fill the role for 1 year and can be reappointed. If necessary due to conflict of interest or availability, we have reserves.

When the information is shared with APSCA the Ethics Manager will review the information and submit an email to the Member in question seeking their response to the allegations within a 30-day period. This information will be shared with the Disciplinary Board in an anonymous manner. The Auditor, Member Firm, person raising the allegation will not be named or made known to the Disciplinary Board.

Members of the Disciplinary Board and the Appeals Board shall recuse themselves from participating in the consideration of any matter where such participation would result in, or give the appearance of, a conflict of interest.

There are 5 types of actions which may be taken by the Disciplinary Board

Once they have reviewed an allegation that a Member Auditor has violated the
1. **No Action**
2. **Written Warning**: A written warning to the Member Auditor found to have violated the Code or Standards.
3. **Demotion**: A demotion in the Member Auditor’s level.
4. **Suspension**: A suspension of the Member Auditor’s APSCA membership and/or certification, for a period of up to and including one year.
5. **Revocation of APSCA Certification**

Following notification of the outcome of the Disciplinary Board, a Member, if they wish to appeal, will have 45 days from the date that they receive the notification in which to submit new information.

Misconduct occurring during the Exam has had the guidelines established and are not reviewed by the Disciplinary Board individually unless APSCA feels this is necessary.

Unless disclosure is required by a court order or other applicable legal requirements, decisions of the Disciplinary Board and Appeals Board shall be confidential, provided that APSCA may share actions by the Boards with the relevant Member Firm, and may publish on its website and elsewhere information on cases individually and collectively, provided that the name of the Member Auditor or Member Firm involved is not revealed.

However note, once the auditor has had their membership revoked, if someone looks up the auditor's name/number it will show “not in good standing”

If an auditor does not pay their membership fee, their membership will be noted as “inactive” Not in good standing is saved for disciplinary issues.
Let’s talk about the exam!
BEFORE exam

Prior to sitting Part I the auditor must have completed the following:
- Had their audit log reviewed
- permission of their Member Firm
- Notified APSCA of their intent to sit the exam and identified who is paying
- Exam must be paid a minimum of 14 days PRIOR to sitting the exam

Failure to follow these rules may result in exam being cancelled, disallowed or delay results being sent.

Question we had earlier:
- how can an auditor enrol for the exam if they are not sponsored by a Member Firm.
- If you are not associated with a Member Firm you can approach us to discuss your specific circumstance.
- auditor Identification. IF your name that you are noted within APSCA is not the same as your identification you need to let us know before you sit the exam
- can we take the exam together with other auditor
- are exam open for all auditors or still for auditors registered before 21 July 2018
- Any extension for the auditor he / she not completed the 1st part exam by March 2020.
The CSCA Exam process has 3 parts
Each part is completed separately and there is a minimum of 60 days between each part. The exams are offered in multiple languages – we will talk about that in a minute....

Part I is 100 multiple choice questions

Part II is a Case Study which has approx. 43 questions which are either multiple choice or short answer and the questions are generally specific to the Case Study –

Part III is an 1:1 interview which sees 3 different scenarios given to the auditor to role play, e.g. opening/closing meeting, various employee and supervisor interviews and may include an interview with union representatives, migrant workers, subcontractors etc. This may also include a couple of short answer questions to be completed.

Part I and II are 2 hours in duration and cost USD60,
Part III is 90 minutes and cost USD325.

If an auditor fails any of the 3 parts of the exam, they are moved to the ASCA level, which means that they are unable to audit on their own until they sit and pass that part.
of the exam.

If the Auditor passes Part I and fails Part II they are moved to ASCA and eligible to sit part II again. Upon passing Part II they are moved back to RA and then eligible to sit Part III.

There is to be at minimum of 90 days between re-sitting the exam due to failure. During this time the auditor is meant to work with their training teams to ensure they are closing the gaps which were identified during the exam.

APSCA is to be notified of the intent to resit and an invoice issued and paid PRIOR to sitting the exam. If an exam is sat out of turn, the exam may be disallowed. At a minimum the exam results will not be issued until the exam has been paid.

There are a couple of very common mistakes that are made and we see auditors fail the exam based on these mistakes. We want to highlight these to ensure you learn from these mistake. We will share these shortly. But before we do – will share the current status of exam results.
The uptake in auditors sitting CSCA Part I exam continues to grow with more than 1200 exams in total having been sat since we started in October 2018. The pass rate is approx. 80%.
We piloted Part II exam in April and June this year in English and piloted in August Part II in both Simplified Chinese and Spanish.

This pass rate is very similar to the pass rate that we saw in the early days of Part II.

We find often people are sitting the exam that are not strong in that language and therefore they do not pass, they wait and re-take when their language is offered with better results.

If you are NOT strong in a language that the exam is being offered – wait.... Don’t rush to sit the exam.
Question: Does APSCA offer training to the auditors before commencing the exam

answer is NO

During the 3 years that we met with audit firms and discussed the process, the general consensus was that auditors are constantly being trained. Everyone wants to train auditors and charge them for the privilege. They said that they want to sit the exam and demonstrate their knowledge. Ongoing conversations with stakeholders to request now with APSCA’s certification to underway to encourage them to review their training – to recognise the examination process and competency framework that APSCA has developed and testing auditors to and focus their training on areas that are specific to their program or going beyond APSCA’s competency framework and definition of a social compliance audit.

We have provided the Competency Framework as well as the Auditor Handbook to Members and it is the Member Firm who is responsible for ensuring that Auditors are trained and have the appropriate knowledge and language skills to sit the exam.

The main reason we see very experienced auditors fail is because they did not follow the
They did not read the instructions and guidelines before they sat the exam and more than likely they didn’t read the Auditor Handbook in preparation. APSCA does watch the videos from the exam and see them scroll to the bottom and type their name without reading the instructions…. So we know when they haven’t set themselves up for success. And we look at how they answer questions to understand that because they didn’t read they don’t understand how to identify if there is 1, 2 or 3 correct answers. We will talk about how to identify the number of correct answers shortly.
We will run through a number of Do and Don’t of the exam

Before, during and after the exam.

All of this information is included within the Auditor Handbook.

Please read it! We spent hours developing this to help auditors and audit firms through the process. We have spent time and money on having it translated as well – so please... we can’t say it enough! Read it.
When we see people get questions wrong that we know Is in the handbook
It is really sad for us!
Free points if you read the Auditor Handbook!
Key Learnings

• Reading Auditor Handbook (including definitions of terms)
• Test equipment well in advance
• Block ample time for exam
• Sit exam when “fresh”
• Review Rules/ Guidance during exam set up
• Carefully read questions
• Be polite to the Proctors
• If it takes an hour to get started it may be 2am before you finish the exam. However if it takes an hour to get started, the proctor may not have capacity to finish and may advise that you can not begin the exam due to a lack of time.
• Follow the guidance in the auditor handbook and connect with the live chat feature through ProctorU and ensure internet speeds are at a level which can sustain the exam/recording and are stable. We have seen speeds lower than 1mps and unstable. TT may have internal firewalls which take time to navigate IF they even can be.
• Exam can not proceed with unstable and/or low speed internet
• Auditors not reading the question carefully, they look for key words, jump to answer, pick the question and continue many points missed. People ask if we are trying to catch them out, no we aren’t, but the competency framework indicate required competency is “to thoroughly review and analyse documentation” not thoroughly reading the question, following the guidance within the rules, attributes to their ability to review and analyse documentation. It is all part of the exam
• Auditor not systematically answering the questions – we see some start at the beginning, jump to the end, go to the middle, then when time runs out they are told by the computer that they haven’t answered all questions. If time has run out…. That is the end they have to go without answering those questions. This is testing your ability to manage time.

Probably the most disappointing element for me has been the number of auditors who have been rude to the proctors. Demanding that the proctor hurry up and start the exam or being rude when they proctor has to interrupt the auditor.
whilst they are taking the exam for a variety of reasons, they are slumping in their chair and therefore their face is no longer physically visible in the video, or the auditor speaks to someone, someone enters the room etc. The proctor will only interrupt if some part of the requirements are not being met. They will be as quick as they can, but being rude to them is not acceptable.

Our jobs are focussing on ensuring that workers are treated with respect in the workforce, the proctors have a job to do and they are doing the job to the direction of APSCA and the direction that they have developed and use across numerous universities around the world to professionally proctor exams. Being abusive does not get you onto the exam quicker and will not be tolerated. If internet is not at a stable level and the connection keeps dropping, then the test cannot continue. If a TT gets disconnected and does not attempt to reconnect to the proctor and tries to finish the exam and save, the exam does not save and will not be allowed.

So be polite to the Proctors
OK.... We have published an Auditor Handbook – yes I know you have heard me say this a dozen times already.... HOWEVER...I will probably say a few more times during this call because too many are NOT reading the document.

In fact we have not received a question as part of the lead up to this webinar that isn’t covered within the Auditor Handbook!

So will say it again.... each auditor sitting the exam receives a copy from your Member Firm, if you have not received contact your Member Firm, if they are unable to provide and you have enrolled to sit the exam let us know (director@theapsca.org)

READ the Auditor Handbook front to back.

There are instructions within the Handbook which include every element:

- How to book the exam through ProctorU
- What equipment is required to sit the exam – e.g. internet download and upload speeds (minimum) webcam, ram, ports etc.
- Reminder that you **MUST** test your equipment
- Connect to a live proctor and let them know that your institution is APSCA – not your audit firm – if you do not tell them you are with APSCA they may not test your equipment to the level required as they have many many clients to have different
levels of expectations.

• What your desk should look like – e.g. there should be Nothing on the desk. You can have one screen (not multiple screens) for Part I you only need to have your government issued ID (not your member firm ID or other types of identification) it needs to be government issued. (passport, driver license etc) it can NOT be expired.

• They will want to see where your phone is located and may use your phone in order to view the front of your computer

• You WILL be recorded from beginning to end of the exam. This recording is used to monitoring integrity issues and if there are any questions regarding answers you may have selected, we refer back to the video to validate that your exam saved correctly. Sometimes when the internet becomes unstable, it can cause an error with the saving of the exam
Question: what is required of the exam room.

Ensure no one else is or can enter the room
If the room has a lock from the inside you should lock this so if someone tries to come in they are not allowed.
Signs are also helpful to let people know why they can’t come in
If you are testing from your hotel room ensure you put your do not disturb sign out AND
If you are sharing a room with someone let them know that you will contact them at the point you have completed the exam.

Ensure you review the Auditor Handbook to check that all required information is available
It is not complicated, you just need to ensure you are prepared and have read the Auditor Handbook.

Engage with your IT team to support your preparation
Some firms have their IT person on hand to support the start up phase. This person leaves as soon as everything has the system has been checked and found to be working.
Some firms also have a dedicated room and computer. This still doesn’t guarantee success, systems must be checked. As updates to computers or new firewalls can be put into place which then blocks ProctorU
Hence systems may work one day and not the next – it is frustrating – we all understand – but it is why we advocate for ongoing testing.

Especially if you are in China. Ensure you test your equipment well in advance, in the location and with the computer that you will be using. Ensure that you test it the day before and connect early to the exam to test again. We have identified that China can change firewalls on very short notice. And of course there are the computer/software upgrades that pop up and can happen over night.

Your exam will be open 15 minutes prior to the designated time. However you can connect even earlier to a live proctor to ensure that your equipment is in working order and reconnect again at the designated time.

Know that if you do not connect within 15 minutes after your scheduled exam time, the exam may be cancelled by ProctorU. If you can not connect to your exam on time, connect in with the Live Proctor to work with them ASAP. **Don’t email, don’t ask your audit firm…. use the Live Chat feature.**

We generally find that people have IT issues when they do not take the steps recommended within the Auditor Handbook with regards to testing of equipment and ensuring that the equipment being used is tested in the environment where it is going to be used.
Or they do not connect with the Live Chat feature with ProctorU
Or they don’t say that their institution is APSCA

Having stable internet is another challenge area. Sometimes the stability of the internet is not able to be understood with the preparation testing. It is your responsibility to ensure you can meet the minimum upload and download speeds which are noted within the auditor Handbook and that the internet is stable – if it is 40 one minutes and 2 the next this will impact on your exam.

If your Wi-Fi can be unstable then connect through a cable directly into your computer for the internet. And under **no circumstances** plan to hot spot off your phone. Your phone can not be kept close enough to your computer to maintain a stable internet connection. And no matter how hard you argue with the proctor they will not let you take the exam with your phone any where near you or your computer.

This isn’t specific to any one country or type of country – unstable internet can be an issue in all types of countries/areas. We have issues in the US and Australia with instability of the internet and when we were testing the system we went to another venue due to instability of the internet.
The instructions / guidelines are noted within the Auditor Handbook but ALSO noted before the exam questions appears

**Please Take time** to read these guidelines and instructions and refresh your memory from when you read them within the Auditor Handbook which by now I KNOW you all would have done!

You type your name indicating that you have read the exam guidelines, however one of the most common mistakes we see people make is that they immediately skim to the bottom, type their name and start the exam. Having not read the exam rules, then attempting to ask the Proctor questions during the exam.
The proctors are unable to answer any questions with regards to the exam at any stage – and this includes the guidelines.

Many people speak during the exam. – generally this is reading the questions out loud, however the Proctor is unable to tell if you are speaking to yourself or someone else, therefore speaking, even to yourself, is not allowed.

They may ask you to show them around the room to ensure that you are alone. This may then come out of your exam time!
We highly recommended that you put a sign on the door and let your colleagues, family members, anyone who may be in the same area as you know that you are sitting an exam and that you are unable to be disturbed.

You are not allowed a break during the exam. Ensure if a bathroom break is required that you take this **BEFORE** the exam starts. Under NO circumstances do you leave the room or leave the chair where you are sitting the exam without letting the proctor know that you need to step away, letting them know WHY and receive their permission PRIOR to departing. Failing to uphold this rule may see the exam shut down and the exam disallowed. This just happened last Friday and not for the first time.

**COMMUNICATION** with the Proctor is key. You can communicate via the chat box or orally. If your language is not advanced English, you can type in your language and the proctor will translate via on-line software so it may take them a moment or two to respond – however this doesn’t mean that you have permission to do whatever you are seeking.

**ONLY** approved resources are present with you in the room.

SO... for Part I there are **no** approved resources.
Part II there is 1 piece of paper, 1 pen or pencil and a calculator. The calculator can **not** be on the computer or on your phone.
Part III we are still finalising however at this stage it is anticipated that there will be **NO** approved resources.

We have space for writing notes on the system for Part II and intended for Part III so you won’t need additional resources.
There is a timer at the bottom right hand corner of the screen which is visible from the point that the first exam question comes up on the screen.

This timer, when it gets down to 0:00 minutes will let you know that your time is up and your need to submit your exam. You do **NOT** receive a 5 minute warning and the Proctor will also not interrupt you to let you know that you have 5 minutes – it is your responsibility to monitor your time. This is part of the Competency Framework expectation of Self-Management and Time Management.

If you haven’t answered all questions and you hit submit you will get an warning to say that you haven’t answered all questions. However it will also tell you that IF you have 00:00:00 time remaining you must submit. If you go back to work out what questions were not answered and attempt to “answer” those – your exam **will** be disallowed.

It is a mistake we see - people disregarding the notice and continue reviewing / answering questions. IF this happens your exam will be disallowed.

IF you feel you should have additional time because of an issue that occurred **AFTER** the exam questions appeared, you can ask the Proctor for additional time. They will let you know if this is granted. Until they say **YES** and provide you with the amount of time that
they are giving to you, do NOT do anything on the exam – wait!

Having an issue BEFORE the exam started does not give you additional time as the timer
ONLY starts once the exam questions appear.

If the exam is not taken and submitted while the Proctor is connected with the auditor,
the exam will be disallowed.

If you disagree with the actions taken by the Proctor you can alert APSCA but failing to
follow the Proctor’s direction will result in the exam being disallowed.

Remember – there is a video of the exam and I can see/ hear the audio of any exchange
between the you and the proctor.
If you wish to leave APSCA a note you can write it in to the Chat Box – and request the
Proctor to let us know that the message is there – as you can imagine we do not read
every single chat – however the Proctors to give us messages when something has not
gone to plan or an auditor wishes to leave a message.

You can also email director@theapsca.org and let us know any feedback or comments.
How are the exams scored? E.g. is there a negative mark to getting a question wrong or not answering a question?

**Question:** How are exams scored?

Scoring is noted in the Auditor Handbook – see Section 5

Part I each question is worth 1 point.
If you get the question wrong it is -0.25

For the questions with 2 or 3 right answers

If there are 2 right answers and you get 1 right and 1 wrong that will get a score of 0.75
If both are incorrect you score -0.25
In part I and part II exam right after some of the questions multiple options are given within bracket as (2) or (3). Those are possible correct answers?

- Select All that Apply (2)
- Select All that Apply (3)

In part II exam some questions are worth more than 1 point, how are these noted?

- (3 points)
- (5 points)

Noted within the Auditor Handbook AND the instructions prior to the exam is information which says

IF at the end of a question it says:

Select All that Apply (2) that means that there are 2
Select All that Apply (3) means there are 3 right answers.

The question will only indicate if there are 2 right answers or 3 right answers – there is no trick here.
If this is not noted at the end of the question then there is only 1 right answer.
There is NEVER a case where all 4 answers are right.

Part II the question may say – provide 3 questions that you will ask management or list 3 documents that you will request to validate grievance mechanism or something like that then at the end it will say (3 points) that means that this question is worth 3 points
If it has (5 points) it means it is worth 5 points.

This also is a second hint that we are looking for 3 or 5 questions, documents or issues as part of the answer.
An Example of a question worth 3 points is noted in the Auditor Handbook.
Question Received – Exam Language

Is there the possibility to have the exam in the native language of auditor?
Most auditors are not native English, so it takes more time to complete the exam and not quite understand some vocabulary.

**Question:**
Is there the possibility to have the exam in the native language of auditor?
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Part I of the exam is available in 4 languages

- English
- Simplified and Traditional Chinese
- Spanish

These 4 languages were selected as they were languages identified as advanced by more than 80% of the auditors.

During 2020 we will roll out additional languages

Part II launches this month in English and following the pilot in Simplified Chinese and Spanish we will be launching part II in these languages in the coming months.

Part III as this is oral, will be launched immediately in a variety of languages
English
Cantonese, Mandarin and Spanish
We will be extending these languages during 2020 as well.

Unless an auditor has identified as advanced in a language which the exam is offered we do NOT suggest that the auditor sit the exam until the exam is offered in their language.

Auditors who are advanced in
English
Simplified and Traditional Chinese
Spanish

Must sit Part I of the exam no later than March 2020
Part II no later than July 2020.
Questions Received – Part II Exam

**Questions:** regarding sample questions, mock papers etc

There are sample questions within the Auditor Handbook

The majority of the questions are multiple choice similar to Part I
Part II questions are focussed on the Case Study which is a replicate of what an audit would look like
Information regarding opening meeting, factory walk through etc.

A common mistake we have seen with Part II is when the auditor answers the questions they don’t refer back to the Case Study to determine the answers
Or they don’t compare the case study and the appendix.
Think as if you were conducting an audit. The details of the audit are laid out in the Case Study.

Read the question thoroughly – do NOT assume that you know what the question is asking by reading the first or last few words.

The questions in part I and part II are of a similar nature in the way that they are written

However part II are focussed on the Case Study and supporting Appendix
Also if you think you have had 2 of the same question – carefully read the questions – chances are you are missing something –

We have similar questions where one is asking about what questions you would ask and another is asking what documents you would review. I have seen many times where people give us exactly the same answer for the two questions – they get 3 points for one question and -0.25 for the second question because they haven’t answered the question. Don’t Rush
There is a lot of information on this slide
We will be sharing in its entirety and information per each section with PPT and other information – as there is a lot to digest here – we to enable you time to review and to adequately liaise with your training departments we will not cover but note that this information is in the PPT>

Use of APSCA Member Number
The question – if you are a Registered level Auditor how would you write your number is the most missed question
For Part I there are 2 questions on use of APSCA Member Number. If you read the auditor handbook this should be 2 free points!

Pre-Audit
Information requested prior to the audit to prepare
e.g. languages spoken by workers, use of labour hire agencies, recruitment agencies etc

Discrimination
Understanding what is discrimination
e.g. Employees working in similar position however not pay the same when would this be considered discrimination or not
Warning signs identifying discrimination
When hiring for certain positions, when is a health exam necessary, Hepatitis test, eyesight etc.
Gender discrimination, including not allowing female workers to perform certain jobs, even though demonstrated capable (lifting x weight, become pregnant etc)
Religious discrimination
union member discrimination

Documentation review / Management Systems
Documents to review for each section, however ones that have the most incorrect
• discrimination
• hiring and employment
• Inconsistent records, what additional records could be reviewed to validate
• underage labour –
when mistakes are identified during documentation review (e.g. payroll etc), how do you investigate whether mistakes are isolated or systemic
Protecting confidentiality of workers, during documentation review, interviews etc
How would you write on an audit report inconsistent records identified or could not fully verify records due to inconsistencies
Sampling strategies to assess working hours, payroll, interview interviews etc
Policy & Procedures, the difference between a policy and a procedures, what should be reviewed, what does good look like
Determine if policies are effectively implemented
Internal Verification
Grievance mechanism – criteria to determine if effective

Underage Labor
If see young worker, documentation indicates appropriate level, what would you ask to determine if documentation is accurate
Once identify – what next

Health & Safety
Actions taken to prevent workers from being exposed to hazards (e.g. eliminate the hazard, if not possible PPE )
When are ventilation systems required (e.g. spray painting, welding etc)
Tracking accidents & injuries including illness, what should be recorded
Fire safety rules, e.g. exit signs (including when they can be turned off – e.g. never!), emergency lighting, exit doors etc
Evacuation drills, what documentation should be reviewed
Providing and replacing PPE – what are expectations/ requirements
Fire Aid requirements – what documents should be reviewed
Chemical safety – appropriate way to handle, move, store
Control fumes exposure

Self-Management
Working in a team and all team member do not agree on how to handle
Management Systems
Methods to validate during follow-up audits that an issue has been closed systemically
CAPA – how to determine if appropriate,
Root Cause Analysis – how to conduct

Forced labour
Indicators of forced labor

Interviews
Sampling strategies for selecting workers
Acceptable places to conduct worker interviews
Techniques to handle nervous workers, or workers that do not want to be participate in the process
How to write issues in the audit report without violating confidentiality of workers

Freedom of Association
What constitutes a Violation of FOA
Warning signs of potential discrimination or not respecting FOA
When can management provide comments to workers without violating FOA

Communication
Strategies to manage difficult / conflict situations

Conflict of Interest
When to disclose a potential conflict of interest at a factory or to audit firm management
What is a COI

Subcontracting
How to identify/ warning signs of potential subcontracting

Report Writing
Law, Code, Collective Bargaining Agreement, how do you write a finding which violates only 1
**Question Received:**

Use of APSCA Logo

- APSCA’s logo is trademarked and the property of APSCA
- APSCA Members (in good standing) can use the Logo as follows:
  - Website
  - Promotional material

**Note:** Use of the logo outside of these parameters is strictly prohibited without explicit approval by APSCA’s Executive Board.

**Question:** Can we use the APSCA’s Logo — on our website, promotional material and our business cards?

Information regarding the use of logo is included within the Membership documentation received at the time of engagement, as well is on the Members Firm Only page.

APSCA logo is trademarked and is the property of APSCA. The logo is only able to be used by current APSCA Member Firms.

APSCA Members can use the logo on their website or promotional material once accepted as a Member Firm, paid the annual membership fees and completed the required tasks identified by APSCA (see below Conditions of Membership). These requirements may be amended by APSCA from time to time. Use of the logo outside of these parameters is strictly prohibited without explicit approval by APSCA’s Executive Board.

You can not use the logo on your LinkedIn profile
You CAN indicate that you are an APSCA member,
Caution: do not place your Member Number on your LinkedIn profile
We have a lot of documents which are there to support you
These are located on our website

We have both the Competency Framework and the Code which can be accessed from
the front page of our website
Our FAQ page which we update regularly and will update again as applicable following
this series of calls.

AND you can of course always contact us

Last but not least, the holy grail – the

Auditor Handbook is given at time of exam confirmation (latest version always shared)
AND remind auditors and firms there may be sanctions for auditors scheduling exams
out of turn or when NOT eligible.

We are global organisation and whilst we are a small team we are a mighty team and do
our best to turn answers around as soon as possible.

So do not hesitate to contact us.
This brings us to the conclusion of our webinar, we have attempted to answer all questions that have come in. We will review any emails that arrive after all of the presentations as well as any questions that we were unable to get through today and we will include these in a summary.

Thanks for your time,