GLOSSARY
OF TERMS
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ASCA: Associate Social Compliance Auditor (ASCA) is an auditor who has been signed off by a Member Firm as meeting the criteria noted within the Competency Framework; has been enrolled with APSCA; and is working towards sitting the CSCA exam.

Audit Firm: Companies or organizations providing independent social compliance services. This definition does not include internal audit functions.

Audit Firm Personnel: Auditors and all personnel who are involved in the management and supervision, coordination, report writing and report quality review of social compliance services.

Audit the Auditor: A risk-based confirmation of audit results for a sample of executions by reperformance of audit procedures by another auditor or detailed review of audit working papers.

Auditee: The facility at which the audit is being executed.

Auditor: Any individual who conducts social compliance services including an employed, freelance, or subcontract auditor.

Client: The organization that has requested the social compliance service and/or the organization that is owed the duty of care.


Code of Ethics Agreement: Industry standard agreement to be executed in connection with all social compliance services outlining the key requirements of the Member Firm’s integrity program and requiring reporting of all solicitation or offers of bribes.

Competency Framework: APSCA’s compendium of demonstrated competencies for practitioners and the basis for consideration as an ASCA or CSCA.

Complaints: Reporting, whether on an identified or anonymous basis, of alleged non-compliance with the Code or Standards.

CSCA: Certified Social Compliance Auditor (CSCA) is a designation signifying that an auditor demonstrates specific experience, knowledge and skills within the field of social compliance auditing. Through a rigorous certification process - including experience, education, examination and assessment - the CSCA candidate must demonstrate the core competencies relevant to the profession.

Facility: An operation that is the subject of the social compliance services. Generally, these operations would be a specific geographic location and have a unique business license. This can include any location where products are produced, grown, distributed or sold.

Freelance Auditor: – see Subcontractor.

Independent Translator: An individual with language skills allowing for communication with workers or management and the auditor. In all cases, the individual shall have no relationship with either the facility or the local authorities and will have executed a non-disclosure agreement.

Member Auditor: An auditor who is enrolled and in good standing with APSCA in either an ASCA or CSCA capacity.

Member Firm: An audit firm that is a member of APSCA and provides Social Compliance Audit services.

Members: Member Firms and Member Auditors.

Owners: Those with an ownership interest as follows:

- Public Company: any level of ownership requiring legal disclosure under applicable securities laws
- Private Company: any level of ownership

Registered Auditor: A temporary designation for an auditor who has been signed off by a Member Firm as meeting the educational and experience requirements of a CSCA during APSCA’s initial deployment of the certification regimen.
Social Compliance Audit: A social compliance service requiring consideration of each of the sections in the Competency Framework with the capture and evaluation of sufficient evidential matter to assess performance relative to each section by a CSCA. Competent capture of sufficient evidential matter includes at a minimum:

- Observations of conditions in the facility, which include the work area and any other relevant areas
- Review of records and policies related to Code of Conduct sections
- Management interviews
- Worker interviews
- Triangulation of all information

CSCA's and Member Firms have the responsibility to ensure that appropriate time is spent on site to competently achieve these tasks. Appropriate time is a function of many factors, including but not limited to the number of workers and physical size of the facility. Industry standard practice indicates that effective consideration would generally require a minimum of one auditor day on site for small facilities (e.g. less than 100 workers), whereas for larger facilities with more workers, two or more auditor days will be required on an incremental basis based on the number of workers and the physical size of the facility.

Social Compliance Consultancy: Any form of assistance with the implementation of any processes or management systems that relates to the requirements of a social compliance service. This includes, but is not limited to, tailored training, document development or provision of advice that would specifically assist an entity to work towards meeting requirements or to achieve compliance.

Social Compliance Consultancy does not include:

- The customary exchange of information at the conclusion of or following an audit including clarifying requirements or explaining findings either to an entity undergoing an audit or to an organization commissioning an audit
- Corrective Action Plan management or administration that does not involve the provision of specific direction to address or remediate identified issues
- Training open to the public, not specific to a client and held at a public forum

Social Compliance Service: An engagement to evaluate, measure, understand and report an organization’s social and ethical performance. A social compliance service is intended to support a larger system to improve labor conditions.

Standards: APSCA Standards of Professional Conduct. The compendium of specific requirements providing further details and guidance related to the elements in the Code.

Subcontractor: Any audit firm and/or individual auditor that is not under the direct employment of the Member Firm and has been contracted to conduct a social compliance service on behalf of a Member Firm and for whom the Member Firm is responsible.

Training Outcomes: Evidence of successful completion of training, including the results of examinations or evaluations from the trainer(s).

Worker: Individuals present in a facility where a social compliance service is being performed including direct employees, contractors, temporary workers and all other persons on-site.