

COMPETENCY FRAMEWORK

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WHY WE AUDIT

Social compliance auditing plays a vital role in initiatives to assess and improve labor rights in the work place throughout global supply chains.

The Association for Professional Social Compliance Auditors (APSCA) aims to increase the value and effectiveness of independent *social compliance* audits by enhancing the **professionalism, consistency and credibility** of individuals and organizations performing them. Labor rights and workplace conditions have become an increased focus for many organizations due to more global supply chains, social responsibility, public perception and legislation. Because of the rapid increase in required audits the profession is at risk of not maintaining the quality of audits limiting their positive impact on labor rights and workplace conditions. APSCA aims to raise the value, quality level and effectiveness of social compliance auditing and support the *Member Auditors* and *Firms* who are performing them.

SOCIAL COMPLIANCE AUDITING AS A PROFESSION

Through APSCA's Certified Social Compliance Auditor (CSCA) program, the organization aims to elevate the role of the social compliance auditor, and develop a workforce of committed, competent, experienced and ethical professionals. *Auditors* can help their clients make positive change to the lives of workers by identifying and understanding key labor rights issues. To help them succeed, *Auditors* should be provided with the working conditions and the ongoing support and development needed to maintain high quality standards. APSCA believes *Member Auditors* deserve to be treated with respect in line with the UN Guiding Principles for Business and Human Rights. APSCA expects *Member Firms* to respect the human rights of its *Member Auditors* and avoid causing or contributing any adverse human rights impacts.

APSCA supports audit programs, initiatives, brands and retailers who utilize the skills of social compliance auditors for them to have the necessary confidence in the level of auditor competency.

Note: Throughout this document an APSCA Associate of Social Compliance Auditors (APSCA ASCA) will be noted as ASCA, and an APSCA Certified Social Compliance Auditor (APSCA CSCA) will be noted as CSCA.

DEFINITION OF A SOCIAL COMPLIANCE AUDIT

A **social compliance audit** is a way of evaluating, measuring, understanding and reporting an organization's social and ethical performance. A social compliance audit is intended to support as part of a larger system to improve labor conditions.

APSCA CERTIFIED SOCIAL COMPLIANCE AUDITOR (CSCA)

APSCA's Certified Social Compliance Auditor (CSCA) designation signifies that an individual 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.

The certification demonstrates to audit firms and their clients, auditee organizations, other organizations, peers, corporate, NGO community, and other interested parties that a CSCA has met the identified criteria and has committed to uphold APSCA's Code of Professional Conduct.

Once an individual obtains CSCA certification, there is an ongoing requirement to maintain their competency. This is demonstrated by maintaining the required competencies and meeting requirements for Continuing Professional Development (CPD).

APPLICATION OF THE COMPETENCY FRAMEWORK

APSCA's Competency Framework for Social Compliance Auditors sets out the basic competency requirements for Certified Social Compliance Auditors (CSCA). Competency refers to the knowledge and skills drawn on in performing tasks necessary to operate in the role of a social compliance auditor.

This framework specifies the competencies expected of CSCA. It is intended to be used by:

- APSCA Associate Social Compliance Auditors (ASCA) to better understand the skills and knowledge required to gain and maintain CSCA status.
- CSCAs to validate their skills and abilities, and articulate their value.
- Clients and the public to understand the value of using a CSCA.
- APSCA Member organizations as guidance for the development of internal frameworks.
- CSCA and APSCA Member Firms for continuing professional development (CPD) requirements.
- APSCA to guide the CSCA certification process and monitor adherence to the APSCA Code of Professional Conduct.
- Audit programs, initiatives, brands and/ or retailers who utilize the skills of social compliance auditors, to have confidence in auditor competency.
- Training and education program developers in the design and development of learning objectives and materials for course curricula and profession-specific programs.
- Anyone who works or considers working as a social compliance auditor to ensure they are informed regarding the competency requirements for CSCA.
- CSCA to validate their skills and abilities, and articulate the value of the Certification.
- ASCA to apply efficiently the principles of objective auditing to gain and maintain CSCA status.
- APSCA Member organizations as guidance for the development of internal frameworks.
- CSCA and APSCA Member organizations for continuing professional development (CPD) requirements.
- Audit programs, initiatives, brands and/ or retailers who utilize the skills of social compliance auditors, to know and have confidence in CSCA competency.
- Training and education program developers in the design and development of learning objectives and materials for course curricula and profession specific programs.
- Clients and the public to understand the value of using CSCA / ASCA.

The intention of this document is to outline the competencies required by CSCAs, not to set audit standards or define audit methodology. The brand, initiative or program will be responsible for communicating and validating that their specific expectations are adhered to.

Audit Firms must not accept orders for services if they do not have qualified personnel to perform them. Auditors must not accept orders for services if they do not meet the qualifications required to perform them. If they are taking on an additional audit topic outside the scope of a social compliance audit, they must ensure the service is delivered by someone who possesses the relevant skills, e.g. structural engineer, mechanic, environmental specialist.

APSCA QUALIFICATION LEVELS

There are two (2) levels for APSCA Auditor Membership:

<h3>ASSOCIATE SOCIAL COMPLIANCE AUDITOR (ASCA)</h3> <p>Entry-level social compliance auditor, who is registered with APSCA, gaining experience under the supervision/ guidance of a CSCA.</p>	<h3>APSCA CERTIFIED SOCIAL COMPLIANCE AUDITOR (APSCA CSCA)</h3> <p>Experienced social compliance auditor who has completed the CSCA process.</p>
<p>Requirements:</p> <ul style="list-style-type: none"> ▪ Has completed classroom training with an APSCA Member Firm or an APSCA-approved organization and shadowed a minimum of 3 social compliance audits <ul style="list-style-type: none"> ▪ Has been signed off by a Member Firm as competent in meeting ASCA Level competencies <ul style="list-style-type: none"> ▪ Receiving onsite/ field training by an APSCA Member Firm or accredited training organization ▪ Holds a university-level degree ▪ Satisfactory results from pre-employment screening of new staff/ auditors, where allowed by law ▪ Has signed APSCA's Code of Professional Conduct 	<p>Requirements:</p> <ul style="list-style-type: none"> ▪ Has obtained the level of ASCA. ▪ Has been signed off by a Member Firm as competent in meeting CSCA Level competencies. ▪ Has passed all elements of the CSCA examination process. ▪ Has the following experience: <ul style="list-style-type: none"> ▪ Minimum 1 years' experience in social compliance auditing, and ▪ Minimum 100 social compliance audit days, provided via audit log signed off by audit firm(s). <p>OR</p> <ul style="list-style-type: none"> ▪ 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 system, health and safety, labor inspections, investigations, audit components <ul style="list-style-type: none"> ▪ Has signed APSCA's Code of Professional Conduct
<p>Responsibilities:</p> <ul style="list-style-type: none"> ▪ Participates in social audits as a team member ▪ Must be supervised by an CSCA during all audits ▪ Does not independently make decisions or call out findings or non-compliances ▪ Adhering to the principles within APSCA's <ul style="list-style-type: none"> ▪ Code of Professional Conduct 	<p>Responsibilities:</p> <ul style="list-style-type: none"> ▪ Conducts 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 ▪ Adhering to the principles within APSCA's Code of Professional Conduct

Note: APSCA may consider exceptions to the above requirements on an ad hoc basis.

COMPETENCY OVERVIEW

Note: The competencies noted on pages 8 - 15 are focused on the specific activity of executing a social compliance audit.

FOUNDATIONAL SKILLS

- Strategic and Systems Thinking
- Professional and Ethical Behaviour
- Observation and Investigation
- Data Collection and Analysis
- Problem Solving and Analytical Decision Making
- Management Systems
- Documentation Review
- Interview Skills
- Communication, Relationship Management and Conflict Resolution
- Self-Management
- Standards, Laws and Regulations

FUNCTIONAL KNOWLEDGE AREAS

- Business Legitimacy and Integrity of Records
- Underage Labour
- Discrimination and Disciplinary Practices
- Forced Labour
- Working Hours and Overtime
- Freedom of Association and Effective Recognition of the Right to Collective Bargaining
- Harassment and Abuse Practices
- Wages, Benefits and Terms of Employment
- Subcontracting
- Occupational Health and Safety

VALIDATION OF DEMONSTRATED COMPETENCIES

The Competency Framework outlines the expected level of competency for ASCAs and CSCAs:

- **Understanding:** Auditor has a basic knowledge and understanding of what is required in this area, but is not yet proficient
- **Proficiency:** Auditor has a sufficient degree of skill and/ or expertise in this area

The CSCAs exam will be face to face and include an interview and simulated audit experience. More information is available in the XX Operational Document.

CSCA EXAM

The CSCA Exam serves as a benchmark for the assessment of proficiency in the areas of functional knowledge and skills. The exam assesses an individual's understanding of basic facts, policies, practices, methods, international human rights treaties and labor standards, local legislation and other regulations relevant to their role. The exam is based on the foundational skills and functional knowledge areas and includes multiple choice, short answer and case study questions.

CSCA INTERVIEW

Candidates must demonstrate their proficiency in the foundational skills required of CSCAs. This step will take the form of a formal interview assessing the individual's ability to conduct effective audits.

MAINTAINING CSCA CERTIFICATION

Once an individual obtains CSCA certification, there are ongoing requirements to maintain certification. This is demonstrated through compliance with the standards for Continuing Professional Development (CPD).

CPD involves undertaking development activities that support CSCAs in ensuring maintenance of their competencies as well as expanding their professional knowledge and practice. Auditors are required to complete a minimum of 48 hours of CPD per calendar year, including mandatory training as outlined by APSCA. CPD undertaken must be tracked by the CSCA and recorded into APSCA's data system. Information to validate these records may be requested by APSCA at any time.

CPD includes the following:

- 16 hours – field social compliance audit
- 16 hours – training on APSCA mandated training topics
- 16 hours – APSCA recognized training which may include, firm, brand, scheme training, participation in social compliance conference or other relevant events.

MISCONDUCT

Any APSCA Member who is aware of another APSCA Member or audit personnel who has committed a violation of APSCA's Code of Professional Conduct (Code), must inform the Member Firm for which the audit was conducted or APSCA.

Others who are aware of an APSCA Member or audit personnel who is to have alleged to have committed a violation of APSCA's Code, are encouraged to inform the Member Firm for which the audit was conducted or APSCA.

When professional misconduct or an infringement of the Code come to the attention of APSCA, there is an obligation that an investigation will be undertaken. If the outcome of such an investigation confirms a Member was in breach of the Code it will lead to an APSCA disciplinary hearing which gives the Member(s) the right to defend their actions. A possible outcome of such a disciplinary hearing would be to suspend or revoke APSCA Membership, which APSCA reserves the right to make public.

There is a restriction therefore on Member Firms from appointing an auditor whose Membership and/ or certification has been withdrawn by APSCA as well as a restriction on the auditor from presenting themselves as a Member Auditor of APSCA. A Member Firm who has taken disciplinary action against a Member Auditor who has committed a violation of the Code shall inform APSCA immediately.

FOUNDATIONALSKILLS

Note: All areas are to be read "as related to the work"

	U - Understanding P - Proficiency	
	ASCA	CSCA
Strategic and Systems Thinking		
Is open-minded, reasonable, and willing to consider alternative ideas or points of view	P	P
Is persistent and focused in their approach	P	P
Can integrate ideas and solutions across all levels and functions in the organisation	P	P
Operates effectively in an environment of change and uncertainty, maintaining flexibility	P	P
Is aware of issues and develops timely strategies to solve problems or seize opportunities	P	P
Professional and Ethical Behaviour		
Is fair, truthful, unbiased, discreet, trustworthy and respectful	P	P
Makes ethical decisions even though these actions and decisions may result in disagreement, confrontation or appeal proceedings; reports to higher levels of management or others when appropriate	P	P
Maintains objectivity and impartiality	P	P
Maintains confidentiality and avoids conflicts of interest	P	P
Maintains and enhances the reputation of the Member Firm, CSCAs, ASCAs, APSCA and the initiatives they are auditing against	P	P
Upholds the law, professional standards and policies when exercising judgement, seeking out advice where needed and relying on their ethical principles to guide their behaviour	P	P
Possesses honesty and integrity, particularly in relation to preventing or reporting bribery and corrupt practices	P	P
Is courteous, conscientious and business-like in their approach to auditing	P	P
Can raise uncomfortable issues and ask challenging questions in a polite manner. Enables constructive challenge at all levels in the organisation	U	P
Delivers factual, clear, accurate, timely and accessible reporting	U	P
Observation and Investigation		
Applies audit principles, procedures and techniques	U	P
Thoroughly reviews and analyses relevant documentation	U	P
Possesses a detailed knowledge of compliance issues commonly applied for social compliance audit codes or standards	U	P
Uses investigative skills / triangulates a range of information to determine the authenticity of information and to verify possible allegations made by other sources	U	P
Triangulates information from interviews, documentation review and observation to draw conclusions regarding activities at the facility	U	P
Selects and applies a range of appropriate operational and management tools and techniques	U	P
Is observant of physical surroundings, people and activities throughout the entire audit process	P	P

U - Understanding
P - Proficiency

Observation and Investigation *(continued)*

Applies detection/ triangulation skills, looking for methods of document manipulation, fraudulent actions and fraudulent practices

ASCA CSCA

U P

Data Collection and Analysis

Selects and applies a range of appropriate analysis tools and techniques

ASCA CSCA

U P

Undertakes effective sampling where appropriate

U P

Mitigates impact of factors that can affect the reliability of audit findings and conclusions

U P

Can reach timely conclusions based on logical reasoning and analysis

U P

Uses numeracy skills to understand and interpret relevant number systems

P P

Problem Solving and Analytical Decision Making

Shows logical judgement skills, making decisions based on objective and verifiable evidence

ASCA CSCA

P P

Uses an evidence-based approach to problem solving and decision making

P P

When facing an issue during an audit, can provide solutions to solve the problem

U P

Assesses situations and information to make informed decisions on objective and verifiable evidence

U P

Management Systems

Demonstrates knowledge of management system frameworks, applicable procedures or other management systems documents

ASCA CSCA

U P

Able to apply management system principles to different organisations and to interact between components of the management system

U P

Demonstrates knowledge of the use of information systems and technology to validate the authenticity of records through triangulation.

U P

Understands specific organisational functions including human resource management, payroll systems, environmental, trade union relationships, collective bargaining processes, applicable collective agreements, health and safety cooperation, other worker representation and worker grievance procedures

U P

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

- Policies, implementation and verification
- Auditees capabilities and root cause analysis
- Training
- Feedback and grievance mechanisms

U P

U P

U P

U P

U - Understanding
P - Proficiency

Documentation Review

ASCA CSCA

Demonstrates the ability to review documentation specific to each of the functional knowledge areas, including:

U P

- Business ethics management program (review documents: anti-bribery and anti-corruption – contracts/ agreement with suppliers, third party providers, business ethics records)
- Environmental permits
- Legal compliance with inspections, audits, certifications, collective agreements

U P

U P

U P

Interview Skills

ASCA CSCA

Is experienced in a range of interviewing techniques and uses as appropriate

U P

Creates an environment where the interviewee/s feel comfortable and at ease

P P

Can select a sample and/or groups for interview as appropriate

P P

Can ask effective follow-up questions to collect information

P P

Possess appropriate investigative interviewing skill to raise probing questions to collect information on sensitive issues, triangulate information across interviews

U P

Interviews appropriate personnel, including management, HR, security staff, worker representatives and workers across shifts to gather information on adherence to relevant laws and other regulations

U P

Listens to the interviewee and adjusts questions and tone of voice appropriately. Reads verbal and non- verbal cues

P P

Relays findings without compromising the source of information, and deals appropriately with personnel who may feel compromised or uncomfortable being interviewed

U P

Communication, Relationship Management and Conflict Resolution

ASCA CSCA

Is tactful and respectful in dealings with people, balances diplomacy and assertiveness

P P

Puts people at ease and builds open, constructive relationships with workers, managers, peers and clients

P P

Can communicate and work with many different stakeholders, at various levels of an organisation

U P

Displays effective influencing and negotiation skills

U P

Demonstrates strong (oral and written) reporting skills

P P

Listens, understands and empathises with others, and is sensitive to people's needs

P P

Displays effective communication skills, oral, written and non-verbal, for example, when conducting audit meetings, interviews etc.

P P

Demonstrates cultural awareness and sensitivity, with an appreciation of the situation of vulnerable workers, such as migrant labour, young workers, homeworkers etc.

P P

Is a fluent speaker and reader of the language(s) used in the organisation being audited, or communicates effectively through an interpreter

P P

Discusses audit findings with appropriate levels of the organisation independently and with confidence, while maintaining confidentiality and protecting potentially vulnerable individuals from retaliation

U P

U - Understanding
P - Proficiency

Communication, Relationship Management and Conflict Resolution *(continued)*

ASCA CSCA

Assumes a leadership role during possible conflict situations and is confident to manage and control discussions

U P

Anticipates reactions and objections and plans how to overcome

U P

Self-Management

ASCA CSCA

Arrives on site in a timely manner, prepared for the work, including knowledge of the appropriate standard, understanding of both industry and facility-specific details, in possession of any reference materials and supplies required for the audit

P P

Arrives on site dressed appropriately – e.g. flat, enclosed shoes, PPE if required

P P

Functions effectively and independently during audits

U P

Demonstrates strong time management skills, by planning, prioritising and adjusting audit activities as required

U P

Demonstrates good organisational and time-management skills, ensuring deadlines, actions and objectives are achieved even when faced with problems, challenges and pressure

P P

Responds well to feedback and is committed to continually developing own skills

P P

Acts as a role model, demonstrating high performance for teams and individuals

U P

Takes personal accountability for results delivered in area of responsibility, strives for excellence and encourages others to do the same

P P

Monitors and improves own performance

P P

Engages in continuous professional development

P P

Recognises limits to own professional competence, seeking support from other professionals and experts as needed

P P

Standards, laws and Regulations

ASCA CSCA

Understands relevant applicable laws, regulations and the role of collective agreements where they exist

U P

Understands relevant International Standards and international authoritative documents under all functional knowledge areas. Examples are the Universal Declaration of Human Rights, the Fundamental and other relevant ILO International Labour Conventions, the UN Guiding Principles on Business and Human Rights, applicable parts of the OECD Guidelines for multinational enterprises*

U U

FUNCTIONAL KNOWLEDGE AREAS

Note: All areas are to be read "as related to the work"

U - Understanding
P - Proficiency

Business Legitimacy and Integrity of Records

ASCA CSCA

Demonstrates a detailed knowledge of business integrity standards

P P

Demonstrates ability to effectively collect data, analyse and draw conclusions in relation to:

- Business Ethics Management System

U P

Underage Labour

ASCA CSCA

Identifies young appearing workers, triangulates information, reports on current and/ or historic underage labour

U P

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

- Age verification system and records
- Young workers – training/apprentice student worker/internship programs
- Young workers – working hour limits, hazardous roles, night work
- Child labour remediation
- Hazardous work for young workers

U P
U P
U P
P P

Discrimination, and Disciplinary Practices

ASCA CSCA

Investigate whether worker demographics represent industry/ sector/ country. Identify signs of policy implementation (e.g. signs posted in languages of all workers, workers understand their rights and the policies relating to discrimination and disciplinary practices)

P

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

- Employment decisions and Employment Equality (based on ability)
- Non-discrimination policy
- Monetary fines and/or deductions used as a form of discipline
- Grounds for termination
- Fair employment practices
- Labour contracts (in language understood by worker)
- Vulnerable groups, such as women, ethnic minorities, LGBTIQ+ people and people with disabilities (including discrimination in recruiting, hiring, employment, promotion)

U P
U P
U P
U P
U P
U P

Forced, Labor

ASCA CSCA

Understand operational indicators of forced labour; how to effectively identify these indicators during the audit process and how to record these indicators on audit reports in a manner that leads to remediation.

U P

U - Understanding
P - Proficiency

Forced, Labor *(continued)*

ASCA CSCA

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

▪ Freedom of movement – including third party workers e.g. agency, contracted, dispatch workers	U	P
▪ Payment to obtain a job – including throughout the recruitment and labour supply chain	U	P
▪ Indebted or coerced to work, including document retention and deposits	U	P

With appropriate processes to identify these practices in the different business models of forced labour, particularly:

▪ State induced and prison labour	U	P
▪ Employer induced, including rogue and corrupt managers and supervisors	U	P
▪ Third party intermediary e.g. labour providers and sub-agents	U	P

Identify proactive policy implementation to deter, detect and correctly deal with suspected and actual cases of forced labour

U P

Working Hours and Overtime

ASCA CSCA

Investigate signs of potential non-compliances, e.g. signs of unrecorded working hours, coaching notes, cages blocking time cards

U P

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

▪ Recording of working hours. Compliance with local law and international standards.	U	P
▪ Objective means to set and monitor working hours	U	P
▪ Waivers	U	P
▪ Rest days / breaks between shifts / total working hours	U	P
▪ Working hour limits for hazardous jobs and categories of workers.	U	P
▪ Transparency and accuracy of working hours records	U	P

Freedom of association and effective recognition of the right to collective bargaining

ASCA CSCA

Identifies signs of compliance, such as signage relating to trade union events, space for union meetings

U P

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

▪ Freedom to join lawful trade union without interference	U	P
▪ Grievance procedures/worker feedback on employment practices	U	P
▪ Non-discrimination and non-retaliation	U	P
▪ Collective Bargaining Agreement adherence	U	P

Harassment and Abuse Practices

ASCA CSCA

Observes interactions between supervisors, management and workers

P P

U - Understanding
P - Proficiency

Harassment and Abuse Practices *(continued)*

ASCA CSCA

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

▪ Disciplinary procedures	U	P
▪ Grievance mechanism	U	P
▪ Role of security guards against abuse	U	P
▪ Physical punishment or physical abuse	U	P
▪ Verbal abuse, mental abuse, coercion or harassment	U	P
▪ Application of disciplinary procedures to vulnerable groups	U	P

Wages, benefits and terms of employment

ASCA CSCA

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

▪ Responsible recruitment practices	U	P
▪ Payroll procedures (including payslips, regular payment)	U	P
▪ Wage calculations including piece rate	U	P
▪ Deductions	U	P
▪ Benefits	U	P
▪ Seasonal/temp workers/migrant workers/labour providers	U	P
▪ Equal remuneration	U	P
▪ Terminations and severance	U	P
▪ Transparency and accuracy of wages records	U	P

Subcontracting

ASCA CSCA

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to:

▪ Ability to identify missing processes / ability to identify reasonable capacity	U	P
▪ Identification of signs of homeworking	U	P

Occupational Health and Safety

ASCA CSCA

Observes health and safety at the facility

U P

Demonstrates ability to effectively investigate, collect data, analyse and draw conclusions in relation to workers awareness and presence of:

▪ Health and safety policies and management system	U	P
▪ Health and safety training	U	P
▪ Licenses and permits	U	P
▪ Potable water (review documentation)	U	P
▪ Accident reporting and follow up actions	U	P
▪ Personal protective equipment (PPE)	U	P

U - Understanding
P - Proficiency

Occupational Health and Safety *(continued)*

	ASCA	CSCA
▪ Equipment/machine safety	U	P
▪ Waste and chemical management program (review permits, licences, MSDS training for workers)	U	U
▪ Repetitive motion (review assessment reports, interview workers, observe use of PPE)	U	U
▪ Emergency procedures, fire safety, exits, fire prevention, fire extinguishers	U	P
▪ Air Quality Management Systems (identify system in place to manage air quality in the work environment)	U	U
▪ First aid	U	P
▪ Sanitation and hygiene	U	P
▪ Dormitories	U	P
▪ Canteen	U	P
▪ Lighting	U	P
▪ Noise (documentation review of medical records, interview workers / management, ensure noise monitoring has been completed)	U	U
▪ Ventilation and temperature control (documentation review, interview management / workers, medical records, evaluating what checks have been undertaken)	U	P
▪ Risk mitigation/supplier assessment/root cause analysis	U	P
▪ Occupancy Certificate	U	P
▪ Hazardous material handling	U	P
▪ Waste Management	U	U



APSCA



ASSOCIATION OF PROFESSIONAL
SOCIAL COMPLIANCE AUDITORS

