

## Auditor Membership Status Policy

### References

- APSCA [Code and Standards of Professional Conduct](#)
- APSCA [Glossary of Terms](#)
- APSCA Finance - Payments Policy
- APSCA CPD Policy

Applicable APSCA

*Code* Section:

5.0 OTHER OBLIGATIONS OF MEMBERS

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### Background

As part of APSCA's process to monitor and communicate a Member Auditor's adherence to APSCA's policies and procedures, APSCA has 5 status types of Membership for Member Auditors:

- In Good Standing (Active)
- Lapsed
- Expired (Effective 1 October 2022)
- Inactive (CSCA/RA only)

Sanctioned Levels:

- Suspended
- Not in Good Standing

### In Good Standing (Active)

An APSCA Member Auditor who has:

- Updated and signed required documentation as applicable.
- Paid membership fees.
- Paid exam fees (if payable by the Member Auditor).
- Signed on-line Form of Acceptance (via Auditor's APSCA online account (My Account)).
- CSCA/RA completes required Continuous Professional Development (CPD).
- No current suspension or ethics issues against the auditor.

## Lapsed

Member Auditor may be moved to the status of 'Lapsed' for not meeting or complying with one (or more) of the following conditions: Unpaid membership fees.

- Unpaid exam fees (if payable by the Member Auditor).
- Unsigned on-line Form of Acceptance (via Auditor's APSCA online account (My Account)).

An APSCA Member Auditor may be further sanctioned for repeat violation(s) if that Member Auditor has been 'Lapsed' previously for similar issues.

**Note:** If the Member Auditor is moved to 'Lapsed' their Membership Status will show 'Lapsed' and their APSCA Auditor Level will be moved to 'ASCA'.

A Member Auditor who has been moved to 'Lapsed' will be moved back to 'In Good Standing' (**and the APSCA Auditor Level adjusted as appropriate**), at the point that the issue(s) which resulted in the move to 'Lapsed' have been addressed.

## Expired

An APSCA Member Auditor who has been in the 'Lapsed' status for 24+ months will be moved to the status of 'Expired' and their Auditor Level removed.

To move back to 'In Good Standing' from the 'Expired' status the auditor is to provide the following to APSCA:

- Member Firm requests the move and associates with the Auditor in either an employed or subcontractor\ freelance capacity.
- Curriculum Vitae (CV).
- Review and action the following via APSCA On-line account (My Account):
  - Complete on-line Form of Acceptance.
  - Review & update details to ensure accuracy.
  - Re-sign and upload the APSCA Code & Standards of Professional Conduct.
  - Upload an updated (recent) Photo.
  - Upload CPD for the missing years (if available).
  - Auditor Membership Fees paid.

**Note:** When an Auditor moves back to 'In Good Standing' the Auditor Level assigned will be determined by:

- If all required CPD hours are uploaded for the period the Auditor was 'Lapsed' and 'Expired' (excluding audit hours) and
- If the Auditor was previously a 'CSCA' the Auditor Level assigned will be 'CSCA' or
- the Auditor level was previously 'RA' and all required CPD hours are uploaded, the Auditor Level will be 'RA\*' and exam parts not previously taken are required to be completed within the applicable timeline.
- If the Auditor level was previously 'ASCA', the Auditor Level will return to 'ASCA' and all exam parts are required to be completed.

Note: Regardless of the level, if Auditor cannot provide the required CPD hours, the Auditor is required to sit all exam parts and will be allocated the Auditor Level of 'ASCA' (Pathway 4), regardless of the previous level.

*\*RA status is only applicable until end May 2023. Following this the auditor will be ASCA until all exams have been completed.*

### Inactive (CSCA/RA only)

An APSCA CSCA/RA who fulfils the requirements of membership, however, is not actively operating as a social compliance auditor can submit an application to request to be moved to 'Inactive'.

Example includes but not limited to:

- a Member Auditor working within another division of the Member Firm,
- they move to Brand/ Retailer, or
- retired but wish to maintain their Membership.

Inactive Members will:

- Pay 50% of annual Membership Fees.
- Complete 50% of annual CPD.
- Complete 0 audit days.

Inactive Members can:

- Present themselves as an 'Inactive' APSCA CSCA.

Inactive Members cannot:

- Use their APSCA Member Number on a Social Compliance Audit.
- Actively participate, in any capacity, within a Social Compliance Audit, including shadowing, witnessing or signing off on the competencies of a social compliance auditor.

Note: Failure to adhere to these steps will see the Auditor's status moved to 'Lapsed'.

A Member Auditor who has been moved to 'Inactive' will be moved back to 'In Good Standing' when the following steps are completed:

- Email [data.administrator@theapsca.org](mailto:data.administrator@theapsca.org) to request the move.
- Pay difference in annual Membership Fees.

Note: The required CPD and audit days would need to be completed by the end of the calendar year and would be pro-rata if 'Inactive' for a partial year.

## Case Examples

While not exhaustive, the following examples are intended to provide a view on the application of APSCA's Auditor Membership Status Policy.

### Case 1 – Auditor Fees

- Member Auditor does not request an invoice for their annual membership fee.
- Member Auditor does not pay and /or respond to APSCA's notices regarding the unpaid invoice(s).

In both cases Member Auditor's status is moved to 'Lapsed' and their Auditor Level to ASCA (if not already) in alignment with APSCA's Auditor Definitions. The Member Auditor will remain 'Lapsed' and 'ASCA' until payment has been received into APSCA's bank account.

### Case 2 - On-Line Form of Acceptance

The Member Auditor does not provide their annual on-line Form of Acceptance by the due date (end of January).

Member Auditor's status is moved to 'Lapsed' and their Level to 'ASCA' (if not already) in alignment with APSCA's Auditor Definitions. The Member Auditor will remain 'Lapsed' and 'ASCA' until the on-line Form of Acceptance has been provided.

It can take up to 7 days for APSCA to move the Member Auditor back to 'In Good Standing'.

### Case 3 – CPD

Member Auditor who is RA or CSCA level is required to complete annual CPD requirements. All CPD is to be uploaded to Member Auditor's APSCA online account (My Account). The Member Auditor does not upload the minimum required number of annual CPD hours by the due date.

Member Auditor's Level is moved to 'ASCA' (if not already) in alignment with APSCA's Auditor Definitions. The Member Auditor will remain 'ASCA' until they meet expectations.

Auditor may be required to meet quarterly requirements at APSCA's discretion.

### Reinstatement Fees

APSCA reserves the right to implement a fee to cover administrative and processing costs incurred to validate closure of the non-compliance and reinstate the Auditor's Membership as applicable.

## Sanctioned Categories

### Suspended

An APSCA Member Auditor who is undergoing or has completed the APSCA's disciplinary process and given the sanction of 'Suspended' by the Disciplinary Board (DBMA) due to an ethical issue(s). Member Auditors within this category are eligible for reinstatement at the end of their suspension period and upon successfully closing to the satisfaction of the DBMA.

**Note:** If the Member Auditor is moved to 'Suspended' their Membership Status will show 'Suspended' and their APSCA Auditor Level will be moved to 'ASCA'.

A Member Auditor who has been moved to 'Suspended' will be moved back to 'In Good Standing' (**and the APSCA Auditor Level adjusted as appropriate or as determined by DBMA**), at the point that the issue(s) which resulted in the move to 'Suspended' have been addressed.

## Not In Good Standing

An APSCA Member Auditor who has been sanctioned due to an ethical issue determined by the DBMA.

A Member Auditor who has been moved to 'Not in Good Standing' by the DBMA is unable to return to 'In Good Standing'. Any associated Member Firm(s) will be contacted by APSCA, in the following week of the Disciplinary Board's decision and request a Disassociation Form.

**Note:** If the Member Auditor is moved to 'Not In Good Standing' their Membership Status will show 'Not In Good Standing' and their APSCA Auditor Level will be removed.

### Note:

An APSCA Member Auditor whose status has moved to 'Lapsed', 'Expired', 'Suspended' or 'Not In Good Standing' is unable to:

- Use their APSCA Member Number on a Social Compliance Audit.
- Actively participate in any capacity within a Social Compliance Audit.
- Present themselves as an APSCA Member Auditor at any time.

Auditor is to communicate with their associated APSCA Member Firm(s) / clients that their APSCA Membership has been moved to 'Lapsed', 'Expired', 'Suspended' or 'Not In Good Standing' as applicable.

An Auditor with any APSCA Membership status is expected to abide by the APSCA Code and Standards of Professional Conduct.

A Member Auditor found to be conducting social compliance audits while 'Lapsed', 'Expired', 'Suspended' or 'Not In Good Standing', may face disciplinary action.