ASI

accreditation services international

ASSURING TRUST IN CERTIFICATION

Accreditation Services International GmbH

Managing the FSC Accreditation Programs

About ASI

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Accreditation Services International

ASI is an independent organization which delivers accreditation services to voluntary certification schemes promoting sustainable development worldwide, such as the Forest Stewardship Council (FSC), the Marine Stewardship Council (MSC), Aquaculture Stewardship council (ASC), Round table on Sustainable Palm Oil (RSPO) and others.
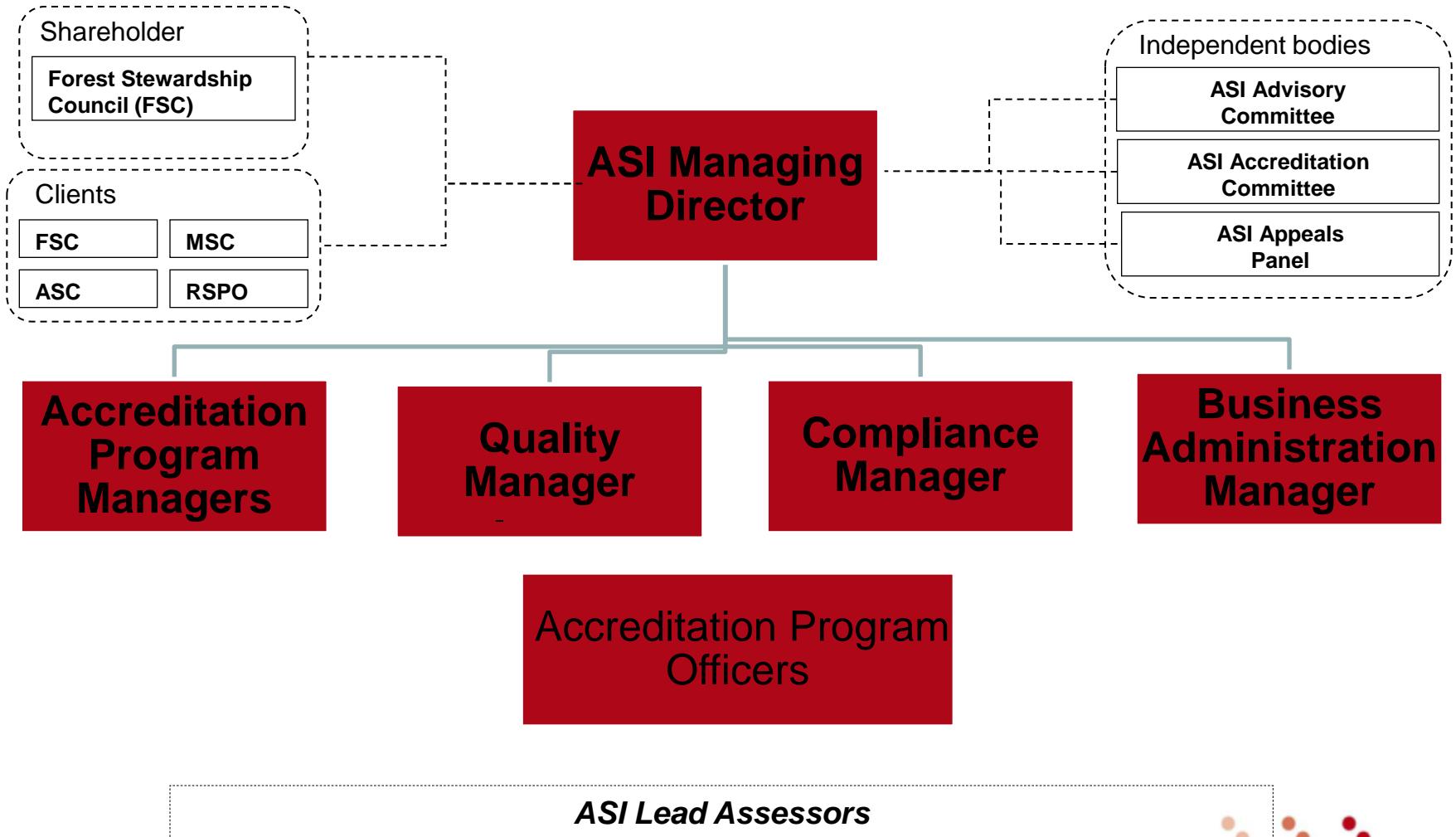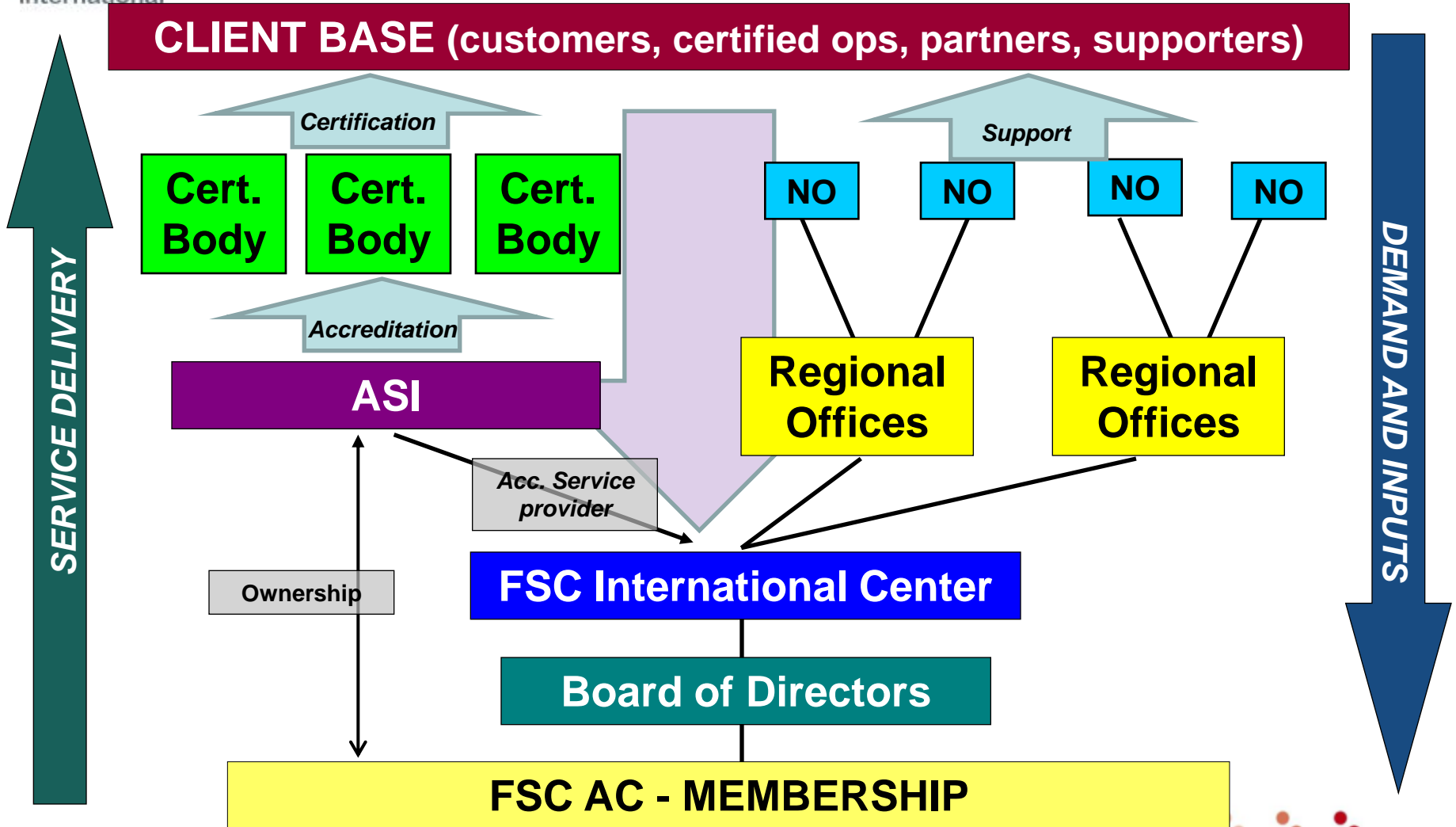
Our main business activity therefore is:

- Accreditation services for international certification schemes.
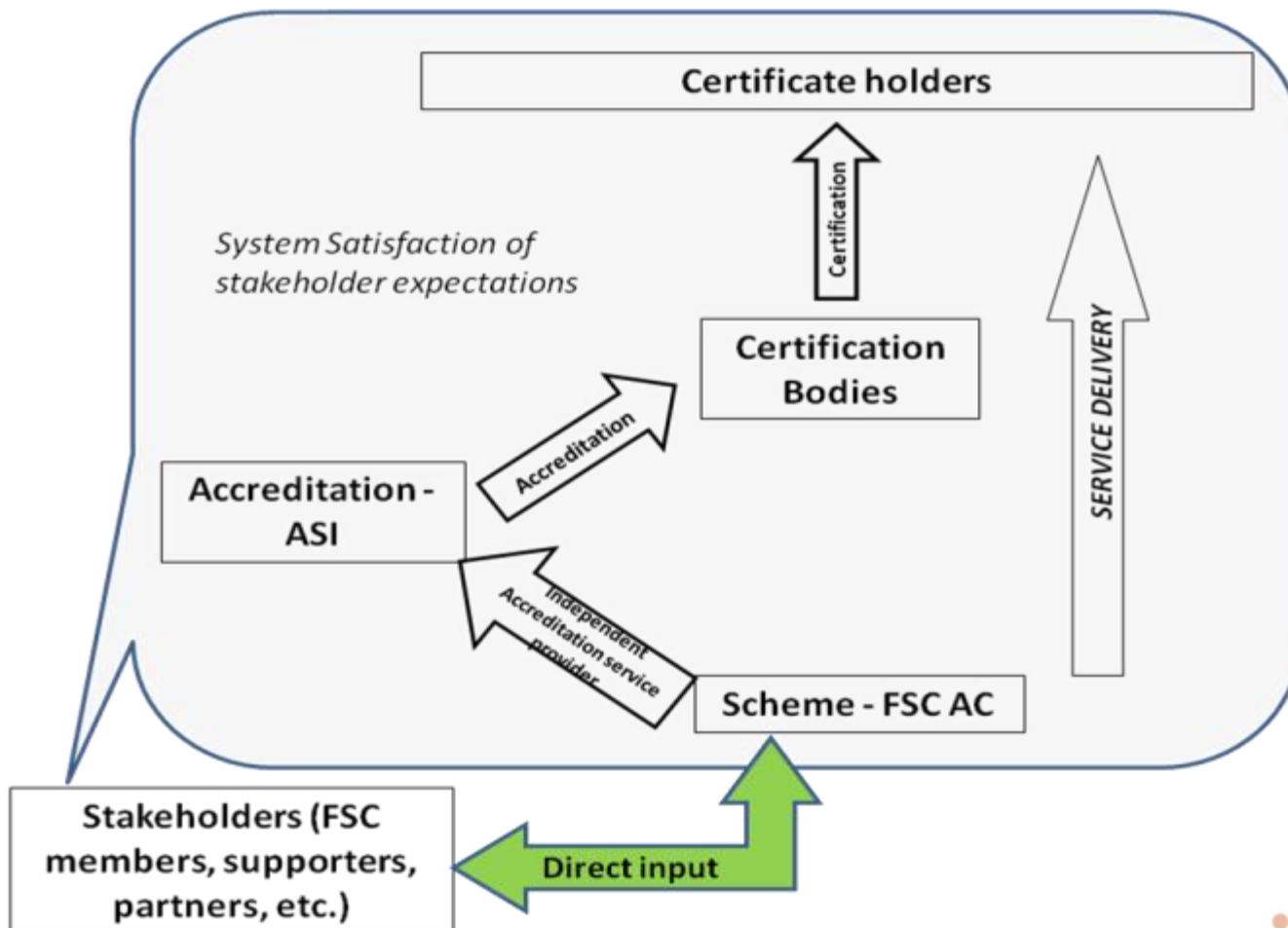- Verification services (Compliance)

- A legal entity (GmbH) in Germany created in 2006 but 100% owned by FSC.
- Independently managed (New BoD in 2012)
- ISEAL member since May 2011
- independent ISO 17011:2004 compliant accreditation body
- Delivers accreditation to FSC, MSC, ASC, RSPO
- Head office in Bonn (Not in FSC office!)
- 21 employees (internal and external) but use a lot of external consultants

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Structure

Shareholder
Forest Stewardship Council (FSC)

Clients
| FSC | MSC |
| ASC | RSPO |

ASI Managing Director

Independent bodies
ASI Advisory Committee
ASI Accreditation Committee
ASI Appeals Panel

Accreditation Program Managers

Quality Manager

Compliance Manager

Business Administration Manager

Accreditation Program Officers

ASI Lead Assessors

ASI within the FSC Network

CLIENT BASE (customers, certified ops, partners, supporters)

Certification

Support

Cert. Body **Cert. Body** **Cert. Body**

NO **NO** **NO** **NO**

Accreditation

ASI

Regional Offices

Regional Offices

Acc. Service provider

FSC International Center

Ownership

Board of Directors

FSC AC - MEMBERSHIP

SERVICE DELIVERY

DEMAND AND INPUTS

What is accreditation?

Accreditation body

↓ Assess competence
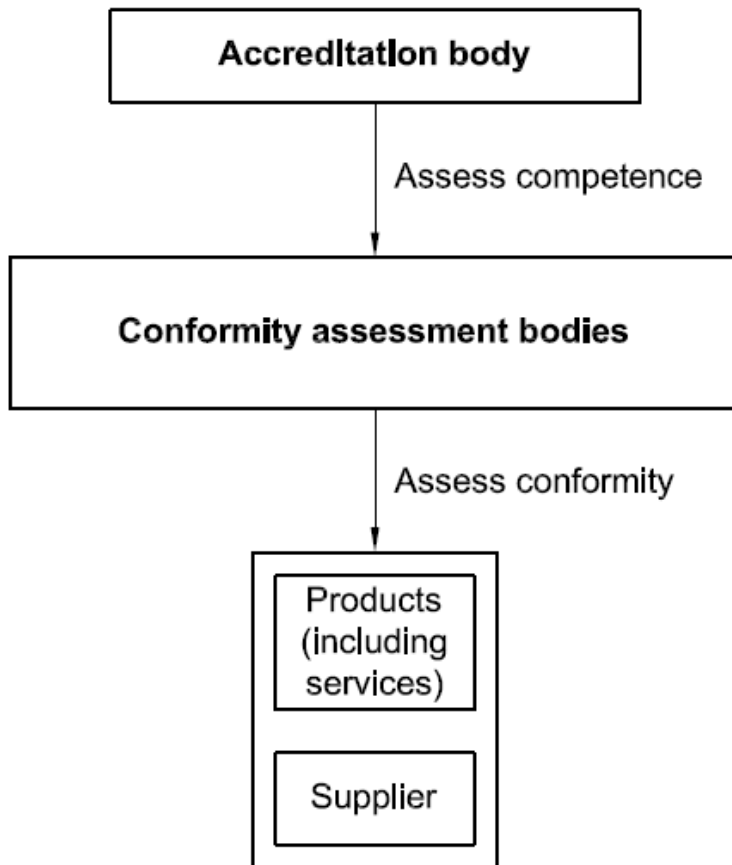
Accreditation bodies assess the competence of CABs. They can facilitate trade by promoting global acceptance of conformity assessment results issued by accredited CABs. This is strengthened if they are peer-evaluated and are members of mutual recognition arrangements among the accreditation bodies.

Conformity assessment bodies

↓ Assess conformity

CABs assess conformity of products, services and suppliers to specifications and/or requirements.

Products (including services)
Supplier

Purchasers acquire products (including services) that conform to specifications or buy from suppliers that conform to specific requirements.
Regulators may set requirements for products and suppliers.

NOTE   The word supplier is used to mean provider of products (including services).

ISEAL – *Code of Good Practice for Setting Social and Environmental Standards*

Initial Assessment & surveillance

Conformity Assessment Body (CAB)

Initial Assessment & surveillance

Client/Certificate Holder

ISO 17011 *General requirements for accreditation bodies accrediting conformity assessment bodies*

ISO /IEC Guide 65 *General requirements for bodies operating product certification systems*

- ISO 19011 and 17011

- Technical compliance!

- Standard requirement!

- Sample!

- Situation at a point in time - photograph!

- Qualification + competence!

- Conformity = certification?

Area	Forest Management		Chain of Custody
SCOPE	FM	CW	COC

Mandatory combination	COC	

Accreditation requirements	G	ISO/IEC Guide 65:1996 FSC – STD – 20 - 001		
	S	FSC-STD-20-002 FSC-STD-20-006 FSC-STD-20-007	FSC-STD-20-012	FSC-STD-20-011

Certification requirements	G	FSC-STD-01-001	FSC-STD-30-010	FSC-STD-40-004
	S		FSC-STD-30-005	FSC-STD-40-005 FSC-STD-40-003 FSC-STD-40-006 FSC-STD-40-007 FSC-POL-40-002

FSC accreditation of CABs

Scope	Accredited	Applicant	Total
CoC Only	13	5	18
FM / CoC	9	0	9
CW / FM / CoC	6	1	7
Total	28	6	34

- 3 are active in Congo basin so far (BV, SW and SGS)
- Info on http://www.accreditation-services.com/archives/standards/fsc

- Initial accreditation
- Annual office surveillance assessments
- Annual witness assessments
- Desk review assessments
- Compliance audits

The ASI accreditation process

1. Application
2. Evaluation of applicants certification documentation
3. Evaluation of the applicant's office(s)
4. Evaluation of pilot project
5. Accreditation report (to committee), corrective action
6. Decision by Accreditation committee and MD
7. Accreditation Contract for 5 years
8. Annual surveillance

Step 1 to 7: 12-20 months

Initial Office evaluation

- ✓ **Determine whether the administrative systems and activities of the applicant conform with the policies and procedures described in the application documents,**
- ✓ **Confirm that the applicant has the physical and technical capacity to undertake the proposed certification programme,**
- ✓ **Confirm that all national and local laws and regulations are adhered to,**
- ✓ **Collect additional documentation that was not included with the application documents,**
- ✓ **Discuss any outstanding issues raised during the evaluation of the application documents.**

(3 days, 2 auditors)

Documentation monitoring – Desk Reviews

- **Follow-up on Corrective Action Requests (CARs), or disciplinary measures,**

- **Review of newly submitted documents for approval (e.g. in case of new or changed policies),**

- **Review of changes to the application documents of the accredited certification body,**

- **Review of certification reports (sample).**

- **Based on ISO guide 65 and 20-001**
- **Review of any changes,**
- **Inspection of records and files (system, projects, personnel, and affiliates),**
- **Compliance with any conditions, CARs,**
- **Evaluation of complaints,**
- **Review of certification files**

To ensure <u>continued conformity</u> with all accreditation requirements, through:

- **Review of system documents and certification reports,**
- **Follow-up on corrective action requests,**
- **monitoring visits to the main office(s),**
- **monitoring visits to certificate holders,**
- **ad hoc follow-up in case of justified complaints.**

Annual monitoring - Witness

	Head Office	Affiliate Office	Witness
FSC	Annual	>20%	1 CoC + 0.5% of certificates 1 Forest + 3% of certificates
MSC			1 CoC + 1% of certificates 1 Fisheries + 5% of certificates

Sample, selected on the basis of:

- **ASI Sampling procedure based on CB's number of CH**
- **ASI risk assessment**
- **Risk areas (Controversiality, complexity of areas)**
- **Complaints from Stakeholders,**
- **Random sampling,**

- *See ASI-PRO-20-106 (FSC Sampling Procedure) on ASI website*

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Some figures!

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- ASI can only issue CAR if non compliance against accreditation standards
  - 20-001
  - 20-011, ETC
- ASI does not issue CAR to CH
- ASI does not issue CAR against certification reqs

- Non conformities
  - Majors
  - Minors
- Thresholds
  - 5 Majors = suspension
- Closure
  - Timelines
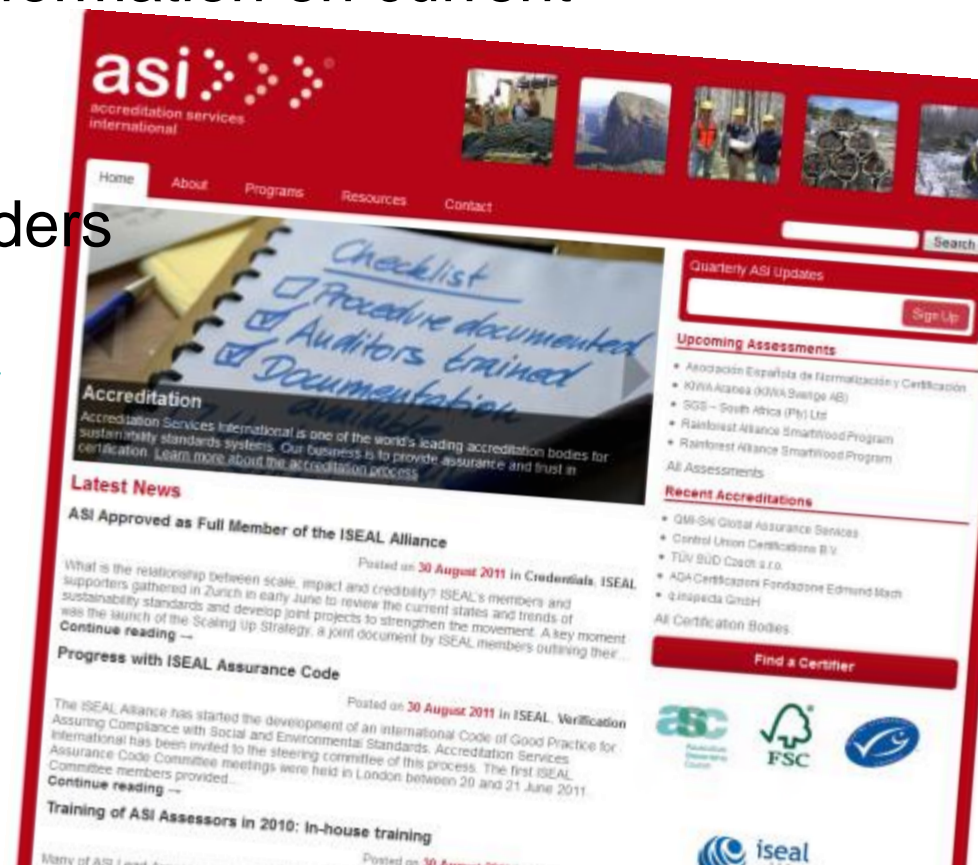 - AMS
- Appeals

- See MS Word Doc...

Some constraints

- Accreditation (ISO) vs Sustainability (FSC)
- Getting appropriate and well trained LAs
- Sampling rate vs capacity!
- Travel time (and Costs)
- Audit planning and scheduling!

Communications

- Implementation of ASI communications strategy
  - ✓ New website
  - ✓ Quarterly newsletter: information on current developments at ASI
  - ✓ Proactivity!
  - ✓ Meetings with stakeholders

http://www.accreditation-services.com/

THANK YOU FOR YOUR ATTENTION

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