ASSURING TRUST IN CERTIFICATION

ASI Accreditation
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Today

✓ About ASI
✓ ASI systems & planning process
✓ Challenges
✓ Way forward
Accreditation Services International

- Based in Bonn/Germany; founded in 2006, before - FSC Accreditation Business Unit

- Assessors with industry specific background (> 20 auditors globally)

- Independent decision-making

- Consistent implementation worldwide
**ISEAL – Code of Good Practice for Setting Social and Environmental Standards**

**ISEAL – Assurance Code**

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**Independent Assurance Process**

1. **Initial Assessment & surveillance**
   - FSC
   - Marine Stewardship Council
   - ASC
   - Certified Sustainable Palm Oil

2. **Conformity Assessment Body (CAB)**

3. **Client/Certificate Holder**
Formal arrangements

✓ Service agreement with Scheme Owner (FSC, etc)
  ✓ TORs for services
  ✓ Additionally, work orders, if identified

✓ Accreditation and license agreement with CABs, interaction regulated by
  ✓ ASI QMS
  ✓ Scheme owners requirements

✓ No legal framework between ASI and certificate holders
  ✓ Instead, CABs and CHs, and
  ✓ SO and CHs
Accreditation Process

1. Application
   - Ok?
   - ? Document Review
     - Ok?
     - Nonconformity Process
   - Office Assessment
     - Ok?
     - Nonconformity Process
   - Onsite Assessment(s)
     - Ok?
     - Nonconformity Process
   - Accreditation Decision

2. Surveillance
   - Accreditation Decision
   - Surveillance Assessment
     - Ok?
     - Nonconformity Process
     - Minor?
       - Corrective Action
         - Ok?
         - Suspension Decision
     - Corrective Action
       - Ok?
       - Suspension Decision
Assessments’ intensity is based on the size, complexity of CAB, as well as based on the risk factors.

The sampling rate is described in the ASI Sampling Policy.

Minimum – annual office assessment and a witness assessment for each of the technical accreditation scope.

Includes desk reviews, office assessments of head office and affiliates, witness assessments, and compliance assessments (might be short notice).
Assessment Scope (this is accreditation)

- Auditor’s competence, conclusions
- Adequacy and implementation of CAB procedures
- Reporting quality and adequacy of data
- Decision making

What about certificate holders’ compliance?
Assessment Planning

- Have annual plan for each CAB (for each accreditation scope), according sampling procedure

- ASI management review risk criteria and define risk regions/ aspects for next year plan (mid of the year)

- ASI program managers run consultation process with ASI assessors and stakeholders (Aug-Sept)

- The definite plan (countries, CHs) is developed and communicated to CABs (Oct-Nov)
Stakeholder Input

- Definition of stakeholders and inputs
- Transparency of ASI activities are limited

- Reaction to stakeholder input
  - Put in the annual plan
  - Increased audit sampling
  - Immediate reaction
  - Postpone, if input is not reasonable
Current Surveillance & Sampling

FSC forest management witness audits, per CAB

ASI oversight level increases linear with CAB size
ASI FSC audits 2012
ASI FSC FM audits per country, 2010-2012

Numbers show Top 15 Countries with FSC certificates
ASI global challenges
1 - process

✓ Scope of witness and compliance assessments
✓ FSC legal framework is not flexible enough
✓ Bound to numbers
✓ Audit scheduling is between three parties
✓ No continuous quality control of auditors
ASI global challenges
2 - technical

✓ Sufficient competent and skilled resources

✓ Lack of reasonable input from local and international stakeholders

✓ Stakeholders’ and scheme owner’s expectations not defined or do not much with each other

✓ Certification versus standards’ flaws
Russian challenges

1 - technical

✓ Scale and seasonality
✓ Lack of infrastructure
✓ Lack of competencies, e.g. languages
✓ No culture of compliance & unfriendly business environment
Russian challenges
2 - internal

✓ Stakeholders’ expectations higher than FSC ever promised

✓ Formal interpretations of the standard not existing

✓ Lack of support from NO, sometimes operating against interests of the scheme

✓ Avoiding to use the existing scheme’s framework
Put objectives of scheme above the target numbers of CHs and hectares, or complaints
Use the FSC system as it is designed
Provide reasonable and objective input when asked
Don’t confuse roles and do not compromise
Work on standards’ interpretations, get them approved
Speak with ASI, proactively, ask for our advise
Promise
(what we can do)

✓ ASI has best intentions to improve credibility, but can only help if parties are collaborative

✓ ASI will consult, but only accepts inputs which are objective and substantiated

✓ ASI will react, but only when the system is used as it is designed

✓ ASI can only help, if parties have same objectives
Thank You!

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