

# ASSURING TRUST IN CERTIFICATION

**For RSPO RT 10, 2012**

**Guntars Lagūns, MD**



**Today**

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- ✓ About ASI, our systems and tools
- ✓ RSPO Accreditation process





## Accreditation Services International

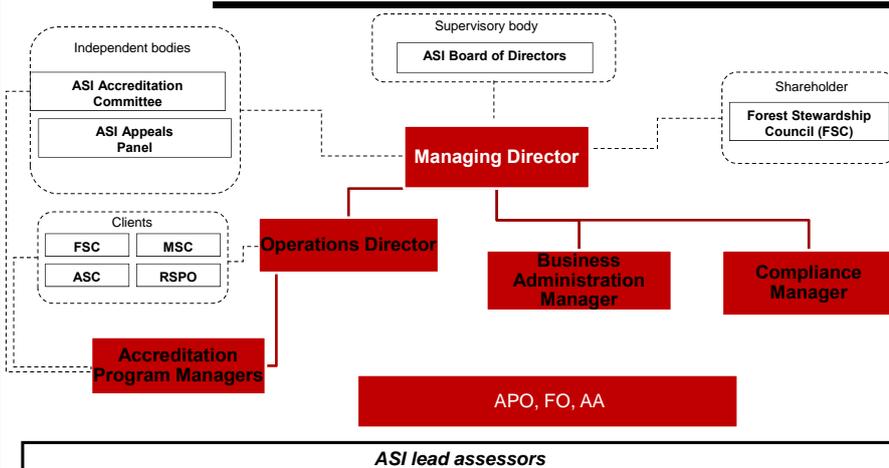
- Based in Bonn/Germany; founded in 2006, before - FSC Accreditation Business Unit
- Independent third-party assurance provider
- Specialist accreditation service provider
- Assessors with industry specific background ( > 20 auditors globally)
- Assessment of applicant and accredited CABs
- Independent decision-making
- Consistent implementation worldwide



Aquaculture Stewardship Council



## Structure



# ASI Governance

Home > About > Board of Directors

## Board of Directors

The ASI Board of Directors provides an external oversight of ASI's operations to strengthen the competence, independence and impartiality of the organization.

### Current Members

**Richard Bradley** consults on the design and operation of accreditation, certification and verification programs to private sector and government clients. His work has covered development of natural production standards for Japanese supermarkets and requirements for mitigation of impacts for biosecurity control. He is a volunteer member on the MSC's Technical Advisory Board. Immediately prior to commencing his consultancy in 1999, Richard managed a certification body offering ISO 9001, ISO 14001, FSC and MSC certifications. Richard, whose degree is in agricultural economics, lives on his farm in Hawkes Bay, New Zealand and is happiest when shifting cattle – about 100 head go up or down the loading ramp each year.



**Kim Carstensen** is the Director General of the Forest Stewardship Council since October 2012. Prior to joining FSC, Kim Carstensen managed FairGreenSolutions, an environmental strategy and sustainable development consultancy that, among other things, helped fine the concepts of 'Green Economy' and sustainable development for clients in the Global South. He also led WWF International's Global Climate Initiative and WWF Denmark, where he worked on issues related to global environment and development policy. He is trained as a sociologist.



**Ken Combes** has been involved in the organic sector for 35 years. In 1990, he played a leading role in establishing the IQAIM accreditation program. He managed this program from 1992 to 1997 when he became Executive Director of the newly established International Organic Accreditation Service, a position he held for the next 14 years. Ken is a qualified auditor and has conducted numerous audits of organic certification bodies for both private and regulatory programs, as well as conducting internal audits of accreditation bodies. He has a degree in economics.



**Michael E. Conroy, PhD**, is a retired academic, economist (University of Texas, Yale University and Oxford University) foundation program officer (Ford Foundation and Rockefeller Brothers Fund) and analyst of the voluntary certification field. He has served on the initial Supervisory Board of FLOCEDET, on the boards of Fair Trade USA and Fairtrade Labeling Organizations International (FLO), as well as on the boards of both FSC-US and FSC International, where he presently serves as Board Chair. He also serves on the board of Earthworks, which is developing the ISO 26000 process for mining certification, and Equitable Origin Standards, the newly-forming voluntary certification system for the oil and gas industry. His 2007 book *Brand(ed) How the Certification Revolution is Transforming Global Corporations*, has been distributed widely.



## Accreditation Committee

ASI's Accreditation Committee reviews ASI's assessment reports, ensuring that the assessment process provides enough information for sound accreditation decisions and that the recommendations included are justified.

### Current Members

**Guenter von Ende** has over 25 years in the global organic and fair trade sector. He has also worked with the Fairtrade Alliance, UTZ Certified and other ISEAL members. His main activity is writing up supply chains and developing sustainable agriculture practices, mostly with groups of smallholder farmers. He helps to develop the organic certified assessment, from standard writing to accreditation and import regulations. With his background in legal, agricultural and organic practices, he manages a department of 20 people in an organic research and advisory organization. Whenever his schedule allows, he has to be seen at organic and fair trade events.



**Michael Callaghan** has 40 years global experience as an assesser, business manager and director of first-party product, inspection and management system certification and accreditation. He has played a significant role in the creation and growth of major international certification bodies. Michael is a Chartered Engineer gained through his early training and work as a production engineer in the aerospace industry.



**Philipp Fiedler** has more than 30 years global experience as a manager of research, commercial follow-up and in standardization and certification. He led the development of technical follow-up and has responsibility for the development of a standardization and certification organization which became one of the key elements of the National Standard System of Canada. Philipp is a Naval Engineer. He holds an author qualification and a professional technical translation certificate. Philipp enjoys outdoor activities like mountaineering, hunting, hiking and photography.



**Jan van 't Hof** is a certification consultant with over 20 years of experience in standard, certification and accreditation. He has worked on social and environmental certification systems including FSC, MSC, ASC, Fairtrade and ISO 26000 and in the development of ISO 14000 and ISO 26000 standards. He was an early board member and chair (1996-1998) of the International Council of FSC. He was on the founding team of FSC Canada and one of the founders of the ISEAL Alliance. He was chair of multiple regional networks, with science fiction, does not have a dog and, most importantly, is happily married.



**Greg Sreen** founded Swiss Quality International (both American and European) in 1991. Since then, he has continuously worked within the first-party auditing and certification industry, helping to create up several major North American and European certification bodies. He is a consultant for the Brazil Action Network, he designed and implemented a first-party verification program for electronics recycling.



**Andrew Winkler** has been involved in the area of social and environmental standards and conformity assessment since 1995, when he led the certification programme of the newly created Fair Trade Stewardship Council (FSC). He then managed the Soil Association (UK) and the programme bodies offering FSC, the Food Safety and Inspection Service (US) and the Fairtrade Certification of Standards Ltd, a consultancy providing services to establish and manage standards bodies. Andrew has served on the Technical Panel of the High Conservation Value (HCV) Resource Network and the Technical Advisory Board of the Marine Stewardship Council (MSC).



# Global Operations

- Example of ASI assessments for one program



# Quality Management System

ASI QMS Documents  
ASI-INF-20-120 ASI QMS Documents v1.0  
Approved by:  
Operations Director  
Date of approval:  
16 November 2010  
Last update:  
7 June 2011

## 1 PURPOSE

This document lists all documents of the ASI QMS.

## 2 ASI list of QMS documents

Document reference code	Document	Version	Approval Date
<b>ASI-20 series: Accreditation of Certification Bodies</b>			
<b>GLOSSARY</b>			
ASI-INF-20-100	ASI Glossary	v1.0	11 August 2010
<b>POLICIES</b>			
ASI-POL-20-108	ASI Trademark requirements	v1.0	18 May 2010
<b>PROCEDURES</b>			
ASI-PRO-20-101	ASI Accreditation	v3.0	11 August 2010
ASI-PRO-20-102	ASI Extension, Reduction, Suspension, Termination	v4.0	8 November 2010
ASI-PRO-20-103	ASI Appeals	v3.0	20 September 2010
ASI-PRO-20-104	ASI Complaints	v3.0	11 August 2010
ASI-PRO-20-105	ASI Surveillance	V3.0	25 October 2010
ASI-PRO-20-106	FSC Sampling	v2.1	29 May 2009
ASI-PRO-20-109	MSC Sampling	v1.0	20 September 2010

ASI-INF-20-120 ASI QMS Documents v1.0 - 16 November 2010 Page 1 of 2  
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<b>GUIDANCE DOCUMENTS</b>			
ASI-GUI-20-101	FSC Interpretation of Accreditation Procedure	v1.0	26 February 2009
ASI-GUI-20-102	MSC Interpretation of Accreditation Procedure	v1.2	16 November 2010
ASI-GUI-20-105	FSC Witnessing	v3.0	20 September 2010
ASI-GUI-20-106	Nonconformities (NCs) and Observations (OBs)	v3.0	11 August 2010
<b>ASI-10 series: Internal Management</b>			
<b>PROCEDURES</b>			
ASI-PRO-10-101	ASI System Improvement	v3.0	20 September 2010
ASI-PRO-10-102	ASI Staff & subcontractors	v2.0	26 February 2009
ASI-PRO-10-104	ASI Extension to ASI scope	v1.0	19 January 2009
ASI-PRO-10-103	ASI Document and record control	v1.1	29 May 2009
ASI-PRO-10-105	ASI Related bodies	v1.0	15 January 2009
<b>QUALITY MANAGEMENT SYSTEM</b>			
ASI-QM-10-100	ASI Quality Manual	v4.1	25 February 2009
ASI-QMS-10-101	ASI Business Strategy	v1.5	04 September 2008
<b>TERMS OF REFERENCE</b>			
ASI-TOR-10-101	FSC Accreditation Committee ToR	v1.0	25 May 2009
ASI-TOR-10-102	FSC Advisory Committee ToR	v1.3	16 April 2009
<b>GUIDANCE</b>			
ASI-GUI-10-101	ASI Style Guide	v1.0	20 May 2009
ASI-GUI-10-102	ASI Handbook for ASI Assessors	v2.0	20 September 2010

End of Document

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# Accreditation Management System (AMS)



## When is it starting?

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- ✓ Service agreement between RSPO and ASI is signed today
- ✓ Accreditation process is starting now



## Transfer process & timelines

### Transfer procedure on ASI website

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- ✓ All applications will be directed to ASI and assessed by ASI following the ASI Accreditation Requirements, no approval
- ✓ All CABs has to go through the full ASI accreditation process, including office and witness assessments
- ✓ Once a CAB is accredited by ASI, the RSPO approval will simultaneously cease
- ✓ RSPO approval of existing CABs will expire on 31<sup>st</sup> December 2013; all CABs not accredited on 1<sup>st</sup> January 2014 will no longer be able to issue or re-issue certificates.

RSPO will consider extensions on a case by case basis



## **Transfer process & timelines For RSPO approved CABs**

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- ✓ All RSPO approved CABs has to submit their applications to ASI and be accepted as applicants, by 31 Jan 2013
- ✓ The CAB and ASI shall sign an Accreditation & License Agreement as soon as ASI accepts the CAB application.
- ✓ Application fee is to be paid
- ✓ Full ASI accreditation process implemented, however, previous ASI activities taken into account to adapt the process
- ✓ Only after accreditation decision, CAB is accredited, no guarantee



## **Assessments**

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- ✓ Assessments' intensity is based on the size, complexity of CAB, as well as the risk factors
- ✓ The sampling rate is based on ASI Surveillance & Sampling Procedure, on ASI website
- ✓ 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, all might be short notice



## Assessment Scope

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- ✓ Auditor's competence
- ✓ Adequacy and implementation of CAB procedures
- ✓ Reporting quality and adequacy of date
- ✓ Decision making
  - ✓ CH compliance with the relevant requirements



## Accreditation Decisions

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- ✓ ASI assessor makes accreditation recommendations (maintain, extend, suspend), after each assessment
- ✓ Program APM initiates accreditation, suspension and termination decision making process, recommending to MD and Accreditation Committee
- ✓ ASI Accreditation Committee supports recommendation
- ✓ ASI MD makes final decision



## ASI Reports

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- ✓ All made in the ASI Accreditation Management System
- ✓ Summary of findings – 24 hours after field assessment
- ✓ CAB comments in 5 working days
- ✓ Finalization in 30 days after the assessment
- ✓ All available in CAB Portal, follow up, comments and updates directly in the system



## ASI NCs

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- ✓ Includes evidence, nonconformity statement, status, deadline and requirement to the reference
- ✓ Follow up actions requires root cause analyse, corrective actions and preventive actions, to be described by CAB
- ✓ CAB shall demonstrate that all actions are effectively implemented, before ASI closes the NCs
- ✓ Timelines for Minor NC is 12 months, for Major - 3 months, may be shortened



## Its not for free – Budgeted time

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- ✓ Includes real time spent for the assessment activity
- ✓ Includes preparation, stakeholder consultation, assessment time, report writing and finalization, follow up on NCs, and travel time
- ✓ Desk based activities charged at minimum half day, field assessments charged minimum 1 day  
(See details in ASI Fee Schedule)
- ✓ Budgets sent before each assessment, it follows ASI Budgeting Guide



## Sample budgeted time, SCCS

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- ✓ Preparation – 0.5 day
- ✓ Site assessment – 1 day
- ✓ Report writing and finalization – 1.5 day
- ✓ Travel – 1 to 2 days
- ✓ Follow up on NCs, as needed
- ✓ Total: 4 to 5 days



## Communications

- ✓ Website with relevant information
- ✓ Regular updates
- ✓ Newsletter: information on current developments at ASI
- ✓ Twitter for assessments

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



## Thank You!

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 IN CERTIFICATION

