

## 1 PURPOSE AND SCOPE

1.1 Provides guidance to ASI assessors on carrying out surveillance activities.

## 2 TERMS AND DEFINITIONS

2.1 All terms and definitions are provided in the ASI Vocabulary.

## 3 ASSOCIATED DOCUMENTATION

3.1	Standards and Policies	ISO 17011:2004 ISO 19011:2002
3.2	Procedures, Guidelines	ASI-PRO-20-101-Accreditation v2.0 ASI-DIR-20-007-Audit and auditor time-FSC FM program v2.0 ASI-GUI-20-105-Witnessing v2.0 ASI-GUI-20-106-Nonconformities (NCs) v2.0
3.3	Checklists, Templates, etc.	Assessment Report Assessment Schedule and Itinerary

## 4 INTRODUCTION

4.1 Monitoring of accredited CABs may consist of the following activities:

- 4.1.1. Reviewing system documents to ensure any changes made comply with certification scheme requirements, and that all changes to certification scheme requirements have been implemented in the CAB's procedures;
- 4.1.2. Reviewing CAB certification reports and supporting audit records;
- 4.1.3. Following-up on ASI Nonconformities (NCs) and Observations;
- 4.1.4. Performing assessments of the implementation of the CAB's Quality Management System at the CAB's accredited office(s), including interview of CAB top management, scheme managers and auditors;
- 4.1.5. Reviewing correspondence, communications, complaints;
- 4.1.6. Seeking input of stakeholders where required by certification scheme owners;
- 4.1.7. Producing ASI assessment reports on conformity of the CAB with relevant accreditation requirements.

- 4.1.8. **Regular surveillance assessments:** Performing assessments at CAB's accredited and/or affiliate office(s), or as witness assessment of CAB's audit teams performing certification audits.
- 4.1.9. **Short notice assessments:** Performing surveillance assessments at short notice, as required to ensure and maintain the credibility of the relevant certification scheme;
- 4.1.10. **ASI compliance audits:** Performing audits of CAB's clients to ensure compliance with the certification scheme requirements;

## 5 SURVEILLANCE PLANNING

- 5.1 The number and type of annual assessment activities for each CAB is determined by ASI following ASI Procedure on Sampling.
- 5.2 ASI shall have an annual planning session towards the end of each calendar year for all regular surveillance and re-assessment activities to take place in the following calendar year.
- 5.3 Accredited CABs shall be informed of ASI's proposed regular surveillance and re-assessment schedule by the relevant APM.
- 5.4 ASI planning can be changed and updated if required due to changes in the CAB's operations, changes to ASI procedures or to certification scheme requirements, other information received, or due to complaints.
- 5.5 Regular surveillance assessments may be increased through:
  - 5.5.1. Requests for additional information from CABs;
  - 5.5.2. Desk review of CAB's documented system, reports and complaints;
  - 5.5.3. Short notice assessments;
  - 5.5.4. ASI compliance audits.
- 5.6 The ASI APM or designated lead assessor shall contact the CAB to arrange assessment dates. The exact dates and locations of each assessment shall be arranged in close cooperation with the CAB in due time.
- 5.7 A budget, and if relevant a provisional assessment plan, shall be prepared by the ASI lead assessor and sent to the CAB by the APM or designated APO. A covering note should stress that findings during the assessment process may require changes.
- 5.8 The ASI lead assessor shall be provided with a copy of or given access to the CAB File prior to the assessment.
- 5.9 For specific certification schemes, the ASI lead assessor may be required to publicly announce the assessment in advance and organise a stakeholder consultation process prior to and during the assessment.
- 5.10 The APM takes full responsibility for the implementation of the assessment schedule for their assigned CABs. This also embraces all relevant communication with the CABs.

## **6 REVIEW OF CAB'S DOCUMENTATION**

- 6.1 ASI lead assessors shall verify that a CAB's documented management system is in full compliance with the most recent certification scheme requirements. This is evaluated by verifying that any changes to the management system comply with certification scheme requirements, and that all changes to certification scheme requirements have been implemented in CAB's procedures.
- 6.2 Any changes to CAB's ownership or legal status, organizational structure, key-personnel, operations, affiliates/partners, or to its accredited certification system must be reported to ASI as indicated in the relevant accreditation agreement. During assessments, ASI lead assessors shall review the nature of the changes, and shall verify that the changes do not result in nonconformity with certification scheme requirements.
- 6.3 On a random basis, following instruction from the ASI Director, or following complaints, ASI lead assessors should review a sample of CABs' certification reports covering a geographical range of certificate holders, a range of certificate types and different CAB auditors.
- 6.4 Document review shall usually be documented in an assessment report. When document review activity does not coincide with on site assessment activities and nonconformities are identified, a short report or nonconformity forms shall be generated.

## **7 REGULAR SURVEILLANCE ASSESSMENTS TO CAB'S ACCREDITED AND/OR AFFILIATE OFFICE(S)**

- 7.1 The objectives of a regular surveillance office assessment are:
- 7.1.1 To assess whether the CAB maintains and operates its procedures in accordance with relevant certification scheme requirements;
  - 7.1.2 To assess whether the CAB adequately implements its own policies and procedures;
  - 7.1.3 To assess whether the CAB maintains the infrastructure, resources and human capacity to deliver the accredited certification program;
  - 7.1.4 To confirm that nonconformities identified by ASI have been addressed.
- 7.2 Regular surveillance should include at least one annual assessment to the main accredited office(s) of each CAB. ASI reserves the right to vary this requirement and undertake assessments at short notice or additional assessments at affiliate offices depending on the performance of the CAB.
- 7.3 The ASI APM or lead assessor shall prepare for the assessment as indicated in ASI Accreditation Procedure.
- 7.4 When required by the certification scheme or at the discretion of ASI, a general stakeholder consultation may be carried out prior to the assessment. This shall be done by the ASI lead assessor. Comments received shall be investigated and taken into consideration during the assessment. At the discretion of the ASI lead

assessor and considering legal confidentiality requirements, certain comments may be sent to the CAB in advance for preparation of their response.

*Note: This clause does not apply to the MSC certification scheme.*

7.5 The assessment's findings are documented in an ASI Assessment Report following the ASI Accreditation Procedure.

## **8 REGULAR SURVEILLANCE ASSESSMENTS AS WITNESS ASSESSMENTS**

8.1 The objectives of performing a regular surveillance assessment as a witness assessment are set out in ASI Guidance on Witnessed Assessments.

8.2 The number of ASI assessment per CAB is determined by ASI Procedure on Sampling.

8.3 Regular surveillance assessments at certificate holders' locations usually include a review by the ASI lead assessor of the certification history of the sampled certificate so as to evaluate conformity of the process against the relevant accreditation requirements.

8.4 ASI shall appoint the ASI lead assessor who has the responsibility to prepare and manage the assessment and ASI assessment team in compliance with ASI Accreditation Procedure.

8.5 ASI regular surveillance assessments shall be conducted in compliance with ISO 19011:2002.

8.6 The assessment's findings are documented in an ASI Assessment Report.

## **9 SHORT NOTICE ASSESSMENTS**

9.1 Short notice assessments may be planned by ASI outside of the regular ASI and CAB's surveillance assessment schedule in response to specific concerns or complaints as indicated below.

9.2 The objectives of performing a short notice assessment are to:

9.2.1 Ensure and maintain the credibility of the relevant certification scheme following identification of a significant risk; or

9.2.2 As part of ASI complaint and appeal procedures, in order to investigate and resolve a significant complaint from a stakeholder against the performance of an accredited CAB or to resolve an appeal from a CAB; or

9.2.3 To monitor the performance of CAB(s) operating for the first time in a new challenging country, region or context; or

9.2.4 To monitor the performance of CABs in countries and/or regions where the CAB has demonstrated poor level of compliance; or

9.2.5 To monitor conformity with major NCs following an accreditation suspension decision, and report to the ASI Accreditation Committee before the suspension decision is reconsidered.

- 9.3 A short notice audit may be scheduled by ASI at the specific request of the certification scheme, if it is demonstrated that credibility of the scheme is at risk.
- 9.4 ASI has developed a risk assessment procedure to identify significant risk to the credibility of a certification scheme (See ASI Procedure on Sampling). This risk assessment will be used by ASI to identify significant risk to the credibility of a certification scheme as indicated under 9.2.1.
- 9.4 Short notice assessments may be performed as a document review, an office assessment or a witness assessment. The CAB shall be contacted and informed at most two weeks prior to the assessment taking place.
- 9.5 Short notice assessments will not be publicly announced by ASI before the CAB has been contacted.
- 9.6 An ASI short notice assessment does not include a stakeholder consultation period prior to the assessment taking place. Stakeholders may be consulted during or after the ASI short notice assessment if relevant.
- 9.7 Depending on the size and complexity of the CAB or certified operation / company selected for the short notice assessment, the ASI lead assessor shall decide on the number of assessment days, the number of assessors, the composition of the assessment team and the need for local expertise or translations.
- 9.8 The assessment's findings are documented in an ASI Assessment Report.

## **10 ASI COMPLIANCE AUDITS AT CERTIFICATE HOLDERS' LOCATIONS**

- 10.1 Compliance audits may be planned by ASI outside of the regular ASI and CAB's surveillance assessment schedule in response to specific concerns or complaints as indicated below.
- 10.2 ASI compliance audits at a certificate holder's location may be performed by ASI following complaint(s) from stakeholder(s) where documented evidence has been provided to the accredited CAB and ASI demonstrating that major nonconformities against certification requirements have been identified.
- 10.3 ASI shall perform a compliance audit if the documented evidence shows that the CAB's audit team has been informed of the major nonconformities but cannot demonstrate or does not appear to have adequately investigated and addressed the complaint by taking appropriate measures to address the identified major nonconformities.
- 10.4 The objectives of performing an ASI compliance audit at a certificate holder's location are:
- 10.4.1 To protect the credibility of a certification scheme; or
  - 10.4.2 To investigate documented complaint(s) showing evidence of major nonconformity with certification requirements received by ASI in relation to a specific certificate holder; or

- 10.4.3 To evaluate certification body's implementation of the accredited certification system and review the company's conformity with certification requirements to verify the competence and performance of the certification body.
- 10.5 Depending on the size and complexity of the certified operation / company selected, the ASI lead assessor shall decide on the number of days needed to perform the audit, the number of assessors, the composition of the assessment team and the need for local expertise or translations.
- 10.6 The ASI lead assessor shall request the CAB to inform the certificate holder and set a date for the ASI compliance audit in agreement with the CAB and the company.
- 10.7 The CAB shall be requested to have a representative observe the ASI compliance audit.
- 10.8 The assessment's findings are documented in an ASI Assessment Report.

## **11 ADMINISTRATION**

- 11.1 Immediately after each document review or assessment, the designated APO is responsible for producing the relevant invoice based on the information provided by ASI lead assessor.
- 11.2 ASI lead assessor or the designated APO is responsible for archiving records in the CAB File on ASI server.

----- End of Document -----

**© 2009 Accreditation Services International GmbH**

This work is copyright to ASI. It may be reproduced or copied for fair use by those seeking accreditation, or those wishing to learn more about accreditation, but may not be used by others without the written permission of ASI.