

1 PURPOSE AND SCOPE

- 1.1 Procedure on sampling of CABs for ASI assessments, to include selection of CAB sites and CAB's auditors for witnessing during surveillance assessments.

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
3.2	Procedures, Guidelines	ASI-PRO-20-101-Accreditation v2.0
3.3	Checklists, Templates, etc.	None

4 PROCEDURE

ASI assessors shall follow this procedure unless exceptional circumstances dictate the development and use of another sampling plan, following approval from the ASI Director prior to implementation.

4.1 General

- 4.1.1 CAB performance levels may vary due to a number of factors, including some of the following:
- i. The range of accredited (or unaccredited) certification services offered;
 - ii. The range of certification products offered (e.g. chain of custody, forest management, controlled wood, etc.);
 - iii. The geographical range over which the CAB operates;
 - iv. The number of certificates they may have issued;
 - v. The number of CAB auditors conducting certification audits;

- vi. The number of CAB affiliate offices¹ involved in implementing the certification program;
- vii. The regions in which certificates have been issued.

4.1.2 Annually, ASI shall perform for each accredited CAB:

- At least one office assessment.
- At least one witness assessment for each one of the certification products covered by the accreditation scope.
- A number of additional witness or short notice assessments or compliance audits, if any, derived from ASI's certificate based risk assessment. (See table 1 below)
- A number of additional affiliate office assessments, if any, derived from ASI's office risk assessment. (See table 2 below).

4.2 Sampling of ASI office assessments

4.2.1 ASI applies a method of "Judgment" in combination with an assessment of risk to select offices and sites to perform witness assessments.

4.2.2. ASI APM and lead assessors must draw a judgemental opinion about the whole population from the selected sample for a specific CAB. It is therefore important for ASI APM and lead assessors to analyse if nonconformity in the sample represents a single error or a systematic failure, and to prepare ASI Assessment Reports accordingly.

Table 1: ASI's minimum sampling for office assessments

Population	Sample size Accreditation	Sample size Surveillance	Sample size Re-accreditation	Comment
Accredited office	1	1	1	ASI shall perform at a minimum 1 annual assessment at the accredited office
Affiliate offices	100%	At a minimum 20%	At a minimum 50%	Minimum annual sampling. Can be increased based on risk assessment.

¹ An affiliate office is a partner organization or subcontractor which reviews CAB's applications, issues proposals, and reviews and enters into certification contracts independently, selects and trains auditors but not makes certification decisions.

Table 2: Guidelines for estimating the number of additional affiliate office assessments

Risk element	Low risk	Medium risk	High risk	Sample size of ASI affiliates office assessments
Number of affiliate offices	1 - 2	3 - 5	> 5	Low: 0 Medium: 1 High: > 2
Number of certificates managed by each affiliate office	1 - 20	21 - 50	> 50	Low: 0 Medium: 1 High: > 2 - all affiliate offices managing more than 50 certificates should be assessed annually.
Suspension of CAB by ASI in specific country or region	0	1	> 1	Low: 0 Medium: 1 High: > 2
Number of major nonconformities raised by ASI following office assessment(s)	1 - 2	3 - 5	> 5	Low: 0 Medium: 1 High: > 2
Number of affiliate office having been subject to formal complaint(s)	0 - 1	2 - 5	> 5	Low: 0 Medium: 1 High: > 2 - all affiliate offices having been subject to formal complaint should be assessed.

Table 3: Other criteria that may be used by ASI for selection of CAB affiliate offices

Number	Selection Criteria
<i>Criterion 1</i>	Office determined for assessment by decision of ASI Director or an executive of the certification scheme owner
<i>Criterion 2</i>	Office subject to complaint or dispute supported by documented evidence
<i>Criterion 3</i>	Office which is part of any kind of official investigation
<i>Criterion 4</i>	Office in charge of managing audit teams which have been identified during

	ASI assessments as poor performers, resulting in ASI major CARs or a significant number of minor CARs.
<i>Criterion 5</i>	New office
<i>Criterion 6</i>	New office in a certain country or region, in which CAB started recently to operate
<i>Criterion 7</i>	Office in a certain country or region, in which ASI did not previously audit an affiliated office of the CAB
<i>Criterion 8</i>	Logistical considerations: combination of trips, availability of assessors and consultants
<i>Criterion 9</i>	Random sampling

Notes:

- 1 If more than one CAB affiliate office is operating within an area of the scope of accreditation, geographical coverage should be considered.
- 2 Affiliate office selection can be combined with auditor or certificate holder selection.

4.3 Sampling of ASI assessments at certificate holders

- 4.3.1 The sample units in relation to particular certificate holders from the number of certificates issued by a CAB shall be selected by the appointed APM (at the discretion of the ASI Director) following guidance in the tables below.

Table 4: ASI's minimum sampling for assessments at certificate holders (witness & short notice assessments, and compliance audits)

Certification product	Number of assessments for regular surveillance			Comment
	Accreditation assessments	Surveillance assessments	Re-accreditation assessments	
Chain of custody	1 pilot project	0.5% of total certificate numbers rounded up	0.5% of total certificate numbers rounded up	Additional short notice assessments and compliance audits may be selected based on ASI risk assessment
Forest Management	1 pilot project	3% of total certificate numbers rounded up	3% of total certificate numbers rounded up	Additional short notice assessments and compliance audits may be selected based on ASI risk assessment

Table 5: Criteria for selection of certificates for ASI witness assessments

Number	Criteria Selection
	Criteria related to certificates issued by CAB
<i>Criterion 1</i>	Certificate determined for audit by decision of ASI Director or an executive of the certification scheme owner
<i>Criterion 2</i>	Certificate subject to complaint or dispute supported by documented or other appropriate evidence
<i>Criterion 3</i>	Certificate issued in a country or region identified as presenting a significant risk area
<i>Criterion 4</i>	Certificate identified for audit during an ASI office assessment or through desk study
<i>Criterion 5</i>	Certificate in a certain country or region, in which the CAB has started recently to operate
<i>Criterion 6</i>	Certificate in a certain country or region, in which ASI did not previously audit a certificate of the CAB
<i>Criterion 7</i>	Certificate related to a product or service not offered by a CAB in previous years
<i>Criterion 8</i>	CAB audit conducted by an auditor or related body not previously witnessed by ASI
<i>Criterion 9</i>	Logistical considerations: combination of trips, availability of ASI assessors and consultants
<i>Criterion 10</i>	Random sampling
	Criteria related to CAB's lead auditors performance
<i>Criterion 1</i>	Lead auditor determined for witness assessment by decision of ASI Director or an executive of the accreditation program
<i>Criterion 2</i>	Lead auditor subject to complaint or dispute
<i>Criterion 3</i>	New lead auditor in a certain country or region, in which CAB started recently to operate
<i>Criterion 4</i>	Lead auditor that has not been previously assessed through ASI assessment
<i>Criterion 5</i>	Lead auditor that is not registered in ASI register of FSC lead auditors
<i>Criterion 6</i>	Logistical considerations: combination of trips, availability of assessors and consultants
<i>Criterion 7</i>	Random sampling

Notes

- 1 If more than one certificate within an area of the scope of accreditation is selected, geographical coverage should be considered.
- 2 If more than one CAB lead auditor is operating within an area of the scope of accreditation, geographical coverage should be considered.
- 3 Lead auditor selection can be combined with office or certificate holder selection.

Table 6: Criteria for selection of certificates for ASI short notice assessments

Number	Criteria Selection
	Criteria related to certificates issued by CAB
<i>Criterion 1</i>	Ensure and maintain the credibility of the relevant certification scheme following identification of a specific significant risk by ASI.
<i>Criterion 2</i>	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.
<i>Criterion 3</i>	To monitor the performance of CAB(s) operating for the first time in a new challenging country, region or context.
<i>Criterion 4</i>	To monitor the performance of CABs in countries and/or regions where the CAB has demonstrated poor level of compliance.
<i>Criterion 5</i>	To monitor conformity with major NCs following an accreditation suspension decision, and report to the ASI Accreditation Committee before the suspension decision is reconsidered.

Table 7: Criteria for selection of certificates for ASI compliance audits

Number	Criteria Selection
	Criteria based on certificate holder's performance
<i>Criterion 1</i>	To protect the credibility of the certification scheme.
<i>Criterion 2</i>	To investigate documented complaint(s) showing evidence of major nonconformity with certification requirements received by ASI in relation to a specific certificate holder.
<i>Criterion 3</i>	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.

4.4 Communication of sample selection

- 4.4.1 The number of selected sample(s) to be assessed for regular surveillance assessments should be communicated to the CAB at the beginning of the assessment year, or at least three months before the assessment is scheduled by the appointed APM. The APM may choose to inform the CAB of the identity of individual samples or may choose not to inform the CAB until as close to the date of the assessment as is practicable to allow for necessary logistical arrangements.
- 4.4.2 If a CAB does not agree with the selection of one of the certificates, offices, or CAB auditors (for example on grounds of cost or similar), the CAB may object to the decision in writing, directed to the appointed APM.
- 4.4.3 If both parties cannot agree, the issue shall be referred to the ASI Director for a final binding decision.

4.5 Assessment team and assessment duration

4.5.1 The table below presents an estimate of the number of days spent on site by ASI assessors to perform office assessments.

4.5.2 The table proposed does not include, preparation, travel time and report writing. Allowance should be made for time to make for preparation, stakeholder consultation process if required, all other arrangements to get to the site, for travel and also reporting time:

Table 8: Guidelines for estimating the number of ASI assessor-days required for an office assessment

Assessment type		Total assessment days	Number of assessors	
Accreditation	Scope	CoC	2	1
		CoC + FM	3	2
Re-accreditation		CoC	2	1
		CoC + FM	3	2
Surveillance	No of certificates	< 50	1	1
		50 - 149	2	1
		150 - 499	2	2
		500 – 1.499	3	2
		> 1.500	>3	>2

4.5.2 The number of assessor-days required for witnessing assessments, short notice assessments, and compliance audits shall be estimated on a case by case basis by the APM and agreed with the CAB.

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