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## ASI - Accreditation Services International GmbH

### 1 ASI staff members

Andre Giacini de Freitas	- Executive Director
Hubert de Bonafos	- Managing Director
Romona Anton	- Accreditation Program Officer

#### 1.1 FSC Program

<i>Recruitment process</i>	- 1 Accreditation Program Officer Assistant for FSC Scheme
Paolo Tranquillini	- Accreditation Program Manager for FSC Scheme
Carlos Ruiz	- Accreditation Program Manager for FSC Scheme (also responsible for the ASI Quality Mgt. System)
Frank Katto	- Accreditation Program Manager for FSC Scheme (started January 2009)
Sasha Bosbeer	- Accreditation Program Manager for FSC Scheme (starting July 2009)

#### 1.2 MSC Program

Kelly Meng-ju Tu	- Accreditation Program Officer for MSC Scheme
Wesley Toller	- Accreditation Program Manager for MSC Scheme
Phil Crocombe (UK)	- Accreditation Program Manager for MSC Scheme
Sönke Fischer	- Accreditation Program Manager for MSC Scheme (starting March 2009)

#### 1.3 Regions

ASI is also working with other ASI lead assessors based in different regions:

Guntars Laguns (Latvia)	- Lead Assessor for FSC Scheme
Alistair Monument (China)	- Lead Assessor for FSC and MSC Schemes
Martin Walter (Germany)	- Lead Assessor for FSC Scheme
Simon Armstrong (UK)	- Lead Assessor for FSC Scheme
Jim Sandom (S.E.Asia)	- Lead Assessor for FSC Scheme

The FSC International Center (i.e. the Head of Finance and the Head of Human Resources Management) provide financial and human resources management services to ASI.



#### 1.4 ASI Human Resources Plan for 2009

In 2009, ASI plans to recruit new positions related to the FSC program:

- Two Accreditation Program Managers for the FSC Certification Scheme as indicated above.
- Recruitment of an Accreditation Program Assistant to support different activities related to the FSC Scheme will be completed in the first quarter of 2009.

ASI ensures that all its qualified Accreditation Program Managers are registered with IRCA as ISO 9001 lead auditors. All new ASI Accreditation Program Managers will attend an ISO 9001 lead auditor training course in 2009. Meanwhile ASI continues its effort to increase its pool of qualified external lead assessors.

Annual in-house training sessions for ASI accreditation Program Managers and lead assessors will also be organized. The first training session will take place just after the CB meeting, in March 2009. ASI will ensure that all new assessors and program managers adequately complete the ASI training and fully comply with ASI requirements before performing surveillance and accreditation assessments as ASI lead assessors.

## 2 ASI Accreditation Programs

### 2.1 FSC Certification Scheme

As of 31<sup>st</sup> of December 2008, the ASI Accreditation Program for the FSC Certification Scheme included 19 accredited and 8 applicant Conformity Assessment Bodies (CABs).

The FSC Scheme has been very successful and has developed very rapidly over the last few years bringing new business opportunities for all ASI accredited CABs for the FSC Scheme. The FSC Scheme has grown 47% in 2008, from 8,686 certificates at the end of 2007 to 12,801 certificates at the end of 2008; 954 FM certificates (+6% in 2008) covering 106,834,864 ha (+14% in 2008) and 11,847 COC certificates (+52% in 2008).

#### **Number of Certification Bodies Offering FSC Certification (February 2009)**

Total number of CABs:25			
Terminated CABs: 2			
FM/COC accredited:	13	Applicant FM/COC	4
Chain of Custody accredited:	7	Applicant Chain of Custody	4

### 2.2 MSC Certification Scheme

As of February 2009, the MSC program has 39 fisheries certified and 97 applicant fisheries currently undergoing assessment, and over 800 chain of custody certificates.



## Number of Certification Bodies Offering MSC Certification (February 2009)

Total number of CBs: 20			
Fishery accredited:	7	Applicant fishery	7
Chain of Custody accredited:	15	Applicant Chain of Custody	5

### 2.3 ASI Projects for 2009

ASI is still an associate member of the ISEAL Alliance and is in contact with a number of voluntary certification schemes that may be interested in the accreditation services that ASI can offer. However, the ASI is currently not working with any specific certification scheme to implement a new accreditation program.

## 3 Meeting updates

### 3.1 FSC General Assembly, Capetown, South Africa

In November 2008, the ASI was at the FSC General Assembly which took place in Capetown, South Africa.

FSC accredited certification bodies were also represented at the FSC GA, with the participation of at least 8 CABs, some of them as FSC members and others as observers. Currently, 6 ASI accredited CABs are FSC members.

### 3.2 FSC motions from the FSC GA

At the FSC General Assembly, the FSC membership voted and passed 33 motions, some of which have a direct impact on the work of ASI.

3.2.1 Motion 45 – Policy motion: *“The General Assembly request the organization to change the existing accreditation regulations for certification bodies that undertake forest management inspection so that ASI decisions on the suspension or maintenance of accreditation can only be made public when a report (for example the public summary report) is available and published at the same time”.*

With this motion, ASI has been requested to publish its report at the same time a suspension or termination decision is announced. To respond to this request, ASI will publish the suspension or termination reports which are presented to the ASI independent Accreditation Committee once a decision has been taken.

3.2.2 Motion 49 – Policy motion: *“ASI shall be sufficiently staffed and funded to fully implement its accreditation standards and systems. ASI shall establish the authority to interact directly with any FSC certificate holders (where a transparent risk assessment indicates it is necessary) to assess the conformity of a certificate to the certification standard. ASI shall establish a procedure to ensure the timely suspension or withdrawal of any FSC certificates as a result of this process”.*



This motion has several components:

- **Sufficient staff and resources:** ASI has already started to recruit new accreditation program managers and has started to work with more external qualified lead assessors as indicated above.
- **Authority to interact directly with any FSC certificate holder:** As part of the review of its QMS, ASI has introduced the concept of Compliance audits where ASI reserves the right to perform field audits together with representatives of the CAB to check first hand conformity of the certificate holder with FSC certification requirements. A risk assessment process is included in the ASI procedure so that compliance audits can only be triggered when a significant risk to the credibility of the FSC system has been identified.
- **Timely suspension or withdrawal of any FSC certificate:** To address this requirement, FSC will introduce a new provision in its certification standards where a certificate cannot be issued or has to be suspended when a maximum number of nonconformities have been identified.. ASI will include a similar provision in its accreditation procedures so that the FSC requirements can be enforced following ASI regular surveillance assessments or following ASI compliance audits.

3.2.3 Motion 54 – Policy motion: “*Public summary reports of ASI audits related to controversial operations:*

- 1 *Shall contain an annex in the local language*
- 2 *That reflects the main audit findings to give response to concerns by stakeholders”.*

To respond to this request, ASI decided that it would be better to translate the entire report instead of translating only the conclusion of the report as this would most probably not allow for a full understanding of ASI findings. ASI will translate its assessment reports for assessments performed at companies where documented complaints have been received and that FSC members consider controversial.

3.2.4 Motion 50 – Policy motion: “*The membership of the FSC hereby urges the FSC IC and ASI to give the highest possible priority to improving the field performance of FSC accredited certification bodies (CBs).*

*In order to achieve this, the membership hereby decides that:*

- *The ASI shall plan the audits of the CBs based on an assessment of the performance of the individual CB. The performance assessment will include but is not restricted to: a high number of CARs relative to the number of certificates, the number of outstanding Major CARs, and the breadth and depth of stakeholder consultation. Accreditation audit frequency shall be determined in such a way that poor performing CBs will require a significantly higher audit frequency. The ASI shall develop clear and transparent performance criteria to determine audit frequency of CBs, with the results being published on ASI’s homepage.*



- *As a part of their annual monitoring of CBs, ASI shall perform a substantial number of spot, random or short notice audits focused on CBs that have received Major CARs concerning their field performance. The frequency of occurrence of these spot, random and short notice audits shall be continually updated and published on the ASI's homepage.*
- *The FSC oversees the development and implementation of a timely, transparent and fair process for the suspension of accredited CBs with input from the FSC membership. The suspension system shall be published on the ASI website*
- *FSC prioritizes the thorough revision of FSC-STD-20-002 [Structure and Content of Forest Stewardship Standards] to address the ambiguity and lack of clarity of the use/issuing of CARs, including the thresholds for Major and Minor, and the justification and procedure for downgrading or upgrading CARs.*
- *FSC/ASI resumes plans for the development of a comprehensive and affordable training programme in FSC standards for CB and ASI auditors, FSC staff, NGOs and consultants that include continuous professional development (CPD). This should include prioritizing the development of the Lead Auditor training standards, training modules and the Lead Auditor Register. The plans will include consultation with CBs and the FSC network.*

*The above changes shall be put in place by 1<sup>st</sup> January 2010<sup>u</sup>.*

This motion has several components:

- ***The ASI shall plan the audits of the CBs based on an assessment of the performance of the individual CB:*** ASI has been requested to evaluate the performance of CBs and to plan additional surveillance assessments in case of poor surveillance. As part of the review of its QMS, ASI proposes a new sampling procedure which addresses this request from the FSC membership.
- ***The ASI shall perform a substantial number of spot, random or short notice audits:*** As part of the review of its QMS, ASI has introduced and clearly defined short notice assessments and compliance audits (See ASI-PRO-20-105-Surveillance).
- ***The FSC oversees the development and implementation of a timely, transparent and fair process for the suspension of accredited CBs:*** As part of the review of its QMS, ASI has developed new procedures to deal with suspension, termination, complaints and appeals (See ASI-PRO-20-102-Extension, Reduction, Suspension, Termination; ASI-PRO-20-103-Appeals; ASI-PRO-20-104-Complaints).
- ***The FSC prioritizes the thorough revision of FSC-STD-20-002:*** The FSC has now announced the review of FSC accreditation standards (FSC-STD-20 series).
- ***The FSC/ASI resumes plans for the development of a comprehensive and affordable training programme in FSC standards:*** In 2009, ASI will establish a registry for FSC lead auditors. All FSC accredited CABs will be requested to provide a list of all their qualified lead auditors. The ASI registry will not be public but ASI will use this registry to monitor the performance of FSC lead auditors. Only registered FSC lead auditors will be authorized to perform FSC audits as lead auditors. Lead auditors may be suspended from ASI registry if ASI identifies poor performance during witness assessments.



3.2.5 Motion 53 – Policy motion: “*Direct FSC International to:*

1. *Prohibit ASI-accredited Certifying Bodies from falsely promoting less rigorous competing standards as equivalent to the forest management and chain-of-custody standards of FSC.*
2. *Require that promotional media and public communications of ASI-accredited Certifying Bodies clearly and accurately differentiate FSC standards relative to less rigorous competing forest certification and chain-of-custody schemes.*
3. *Develop in-house research capacity to maintain current comparisons of forest management and chain-of-custody standards between FSC and leading competing schemes AND provide all Certifying Bodies with annual updates of these comparisons.*
4. *Direct ASI to assist in enforcing this policy by including review of Certifying Bodies’ promotional media in annual accreditation audits”.*

Once FSC has developed the appropriate normative framework to address this request from the FSC membership, ASI will have to ensure compliance during its accreditation and assessment activities.

#### **4 ASI Quality Management System**

##### **4.1 ASI QMS review process**

In July 2008, ASI started a review process for its Quality Management System (QMS) with the support of an external expert. The extensive revision process has taken several months. The new ASI Quality Manual and procedures that form part of the ASI QMS are currently being finalized. Other documents such as checklists, report templates, management review templates and other templates will need to be reviewed and finalized in 2009.

The ASI QMS will be presented to all ASI accredited CABs for the FSC program during the 2009 annual ASI-CAB meeting and will be implemented following the meeting. An internal ASI audit is scheduled for May/June 2009, and ASI plans to have an external audit and review for conformity against ISO 17011 in the second half of 2009. The audit will be performed by an independent & experienced IAF auditor in order to demonstrate ASI’s compliance with ISO 17011.

##### **4.2 ASI Business Strategy**

ASI presented a new Business Strategy to the FSC Board of Directors in November 2007 and March 2008. This ASI Business Strategy was approved by the FSC Board of Directors in March 2008 and ASI is planning to implement it over the next 3 years.

##### **4.3 ASI Audit Management System**

The increase in the number of assessments performed by ASI every year along with the increase in work with external lead assessors, requires the implementation of an audit management system.

The implementation of such a software system would not only help ASI manage different accreditation programs but would support both improved audit planning and consistent



reporting, and better monitoring of the performance of ASI lead assessors, , as also the monitoring of compliance with corrective action requests.

The development and implementation of an audit management system is a top priority for ASI in 2009. However, it requires significant financial investment.

#### 4.4 Important new ASI procedures

##### 4.4.1 ASI Accreditation Committee

In August/September 2008, ASI established a new independent Accreditation Committee. The ASI Accreditation Committee is made up of 4 external experts who are responsible for reviewing all ASI reports and accreditation decisions. The ASI Accreditation Committee makes a final recommendation to the ASI Director and the ASI Director notifies the relevant CAB of the decision.

All ASI accreditation decisions related to initial accreditation, suspension, termination and re-accreditation will be reviewed by the ASI Accreditation Committee. As announced in an e-mail dated 28 October 2008, to cover the cost of this new independent Accreditation Committee, ASI has introduced in January 2009 a fixed accreditation decision fee of 3,000 Euros for all ASI accreditation decisions. This new accreditation decision fee will be charged mainly to applicant certification bodies, but will also be charged to cover the cost of any accreditation decision such as re-accreditation, suspension or reinstatement decisions, or requests for changes in scope.

##### 4.4.2 ASI Advisory Committee

As part of its Business Strategy, ASI has proposed the establishment of an independent ASI Advisory Committee to the FSC Board of Directors. . The Terms of Reference for this Advisory Committee have been drafted and will be presented to the FSC Board of Directors at the next Board meeting scheduled for the 1<sup>st</sup> week of April 2009 for approval. ASI is planning to establish this new committee as soon as authorization has been received from the FSC Board of Directors. ASI plans to have one representative of ASI accredited certification bodies participate in this committee. This will be discussed in detail during the CB meeting.

##### 4.4.3 Proposed Code of Conduct

In October 2006, ASI proposed the development and introduction of a Code of Conduct to be endorsed by all ASI accredited certification bodies and at the time an application is approved.

This proposal did not receive a lot of support at that time. However, with the increasing number of certification bodies being accredited for the FSC program and issues raised by a number of accredited certification bodies regarding the predatory marketing practices of some newcomers, and to address some of the concerns raised by the FSC membership during the last FSC General Assembly, ASI considers that a voluntary Code of Conduct could be an appropriate approach to address some of the challenges faced. This proposal will be discussed at the 2009 annual ASI-CB meeting.



#### 4.4.4 ASI appeal and complaint procedures

As part of the development of its new QMS, ASI revised its appeal and complaint procedures (ASI-PRO-20-103-Appeals; ASI-PRO-20-104-Complaints). These new procedures will be published on ASI Website and presented during the 2009 annual ASI-CB meeting. These new procedures will be implemented after the ASI-CB meeting.

#### 4.4.5 ASI surveillance procedure

ASI developed a new surveillance assessment procedure which, in order to address the FSC motions adopted at the FSC General Assembly, incorporates a procedure for short notice assessments and a procedure for compliance audits. This procedure (ASI-PRO-20-105-Surveillance) will be presented at the ASI-CB meeting.

#### 4.4.6 ASI sampling procedure based on CAB performance

ASI proposed and presented a draft sampling procedure at the 2008 ASI-CB meeting. This ASI sampling procedure was reviewed during the development of the new ASI QMS. Motions from the FSC General Assembly were also taken into account to draft the new ASI guidance document (ASI-GUI-20-103-Sampling) which will be presented at the ASI-CB meeting.

#### 4.5 New FSC-CAB accreditation agreement

For the last two years, ASI has been working together with FSC legal counsel on the development of a new FSC-CAB accreditation agreement. This new draft accreditation agreement was circulated for comments to all ASI accredited certification bodies at the beginning of September 2008. ASI accredited certification bodies were given 4 months to comment on the draft proposal. Ten certification bodies provided comments to the draft document. These comments were taken into account and the draft proposal was revised. Draft accreditation agreement version 2 was finalized and circulated to all accredited certification bodies towards the end of February 2009. The new draft FSC-CB accreditation agreement will be presented at the ASI-CB meeting. New comments received will be taken into account and a final version will be prepared. The objective is to introduce this new FSC-CB accreditation agreement in July 2009.

#### 4.6 Registry of FSC Lead Auditors

In 2009 ASI will establish a registry for FSC lead auditors. All FSC accredited CABs will be requested to provide a list of all their qualified lead auditors. The ASI registry will not be public but ASI will use this registry to monitor the performance of FSC lead auditors. Only registered FSC lead auditors will be authorized to perform FSC audits as lead auditors. Lead auditors may be suspended from ASI registry if ASI identifies poor performance during witnessing activities.

### 5 ASI Audit updates

#### 5.1 ASI audits in 2008

For the FSC Certification Scheme, ASI performed 104 accreditation and surveillance assessments in 29 countries between January and December 2008. Of these, 8 were



performed as short notice assessments and 2 were performed as compliance audits (directly reviewing the conformity of the certificate holder with certification requirements).

The assessments performed were as follows:

- 23 +7 Office audits (surveillance + accreditation)
- 42 + 6 COC audits (surveillance + accreditation)
- 24 +2 FM audits (surveillance + accreditation)

## 5.2 ASI assessment reports for 2008

ASI produced 99 audit reports for the 104 audits performed in 2008 (6 COC audits performed in Vietnam were covered in one report).

Many drafts of the ASI reports were produced within the timeline agreed at the 2008 CB meeting:

- 28 (28.2%) draft reports were produced within 30 days of the ASI assessment.
- 42 (42.4%) draft reports were produced within 60 days of the ASI assessment.
- 49 (49.5%) draft reports were produced within 90 days of the ASI assessment.
- 18 (18.2%) draft reports needed more than 90 days to be sent to the relevant CAB.

Most pending reports for audits performed in 2008 are being drafted and will be sent to the respective CAB by ASI Accreditation Program Managers before the end of February 2009. However a limited number of reports, mainly for audits performed towards the end of 2008 (October – December), will only be sent to the relevant CABs in March 2009.

In 2009, ASI will continue to work on improving delivery of assessment reports within stricter timelines.

## 5.3 ASI audits planned for 2009

ASI has scheduled 122 surveillance and re-accreditation assessments for 2009. ASI accredited CABs have been informed of these planned audits at the end of 2008 by the responsible ASI Accreditation Program Manager. The number of accreditation audits performed in 2009 will depend on the number and progress of new applicant CABs.

ASI will follow-up on the situation in China and will also focus on high visibility regions such as the Congo Basin, Russia, Vietnam and part of Latin America. As in the past two years, ASI will systematically perform a surveillance audit of any CAB issuing its first certificate in the Congo Basin. ASI will also systematically audit all CABs operating in Russia, starting beginning of 2010, to ensure that the new FSC standard for Russia is adequately implemented and enforced.

As was the case in 2008, short notice assessments and compliance audits may be organized for some high visibility certificates or to follow-up on major complaints. Any compliance audit performed by ASI will be organized in collaboration with the relevant CAB.

In 2009, ASI will monitor the FSC Controlled Wood activities of ASI accredited CABs more actively. Some ASI assessments may be organized to look at the performance of CABs in the implementation of FSC Controlled Wood requirements.



## **6 ASI International Recognition**

### **6.1 ASI participation in ISO 17065 Working Group**

ASI will participate in the ISO 17065 working group that is in charge of reviewing ISO 65. A meeting has been scheduled in June 2009, and ASI will send a representative to this ISO meeting.

## **7 ASI Financial updates**

### **7.1 ASI financial update for 2008**

A total of 453,126 Euros (323,388 Euros in 2007) has been invoiced to CABs to cover the costs of ASI assessments in 2008. Of this gross income, a total of 314,325 Euros (206,025 Euros in 2007) was used to cover ASI Accreditation Program Managers' time. This represents a total of around 525 days (403 days in 2007) which have been invoiced to CABs in 2008. The remaining 138,801 Euros (118,028 Euros in 2007) were used to cover flights, hotels and other expenses, and local experts' fees. ASI has tried to minimize the use of local experts in order to reduce the cost of ASI assessments.

ASI income related to the accreditation program for the FSC Scheme has improved in 2008. However, this income was still insufficient to cover the costs of running the FSC accreditation program in 2008. ASI will not be able to rely anymore on the current FSC AAF which will be replaced by the new FSC licensing scheme.

ASI has also been requested to demonstrate financial independence and profitability within the next two to three years.

## **8 Follow-up on agreements at 2008 annual CB meeting**

### **8.1 ASI auditing procedure and auditor handbook**

ASI procedures have been reviewed as part of ASI QMS review. New procedures are going to be presented at the ASI-CAB meeting and will be circulated to all CABs after the meeting.

### **8.2 ASI short notice audit procedure**

In its new procedure for surveillance assessments, ASI has introduced a procedure for short notice assessments and a procedure for compliance audits. This new ASI procedure will be presented at the ASI-CAB meeting and will be circulated to all CABs after the meeting.

### **8.3 Appeals and complaints**

ASI appeal and complaint procedures have been reviewed and updated. These new procedures will be presented at the ASI-CAB meeting and will be circulated to all CABs after the meeting.

### **8.4 ASI capacity**



ASI has already begun recruitment of new accreditation program managers and has increased working capacity with external qualified lead assessors as indicated above.

#### 8.5 Improvement in the performance and training of ASI lead assessors

Many of ASI lead assessors and accreditation program managers have experience working for CABs before being recruited by ASI. Once recruited, all ASI lead assessors are requested to attend an ISO 9001 lead auditor course, and to go through the ASI training process. ASI internal training takes at least 6 to 9 months before an accreditation program manager or lead assessor is authorized to start performing ASI assessments as a lead assessor.

ASI continues organization of internal calibration sessions and annual planning sessions to enable all ASI lead assessors to share and discuss their work experiences/case studies with their colleagues.

To ensure increased consistency between ASI lead assessors, ASI will introduce assessments under supervision, with an experienced ASI lead assessor witnessing assessments performed by less experienced ASI lead assessors.

#### 8.6 Building credibility with NGOs and the industry

ASI will pursue its efforts in 2009 to improve its credibility with both the NGOs and the industry. ASI organized a number of successful meetings with NGO representatives before the FSC General Assembly. A meeting between FSC NIs, NGOs and CABs' representative (organised by ASI) is scheduled for the 2 March 2009 afternoon. This meeting will be an opportunity to improve communication between FSC NIs, NGOs and CABs.

The development and implementation of a new ASI website will enhance ASI communication with the FSC Network and other stakeholders.

#### 8.7 Training of FSC NIs

ASI has not participated in training of FSC NIs in 2008.

However, ASI has organized an NGOs, FSC NIs, CABs meeting on the 2<sup>nd</sup> of March 2009, to establish better communication between leading NGOs, FSC NIs and ASI accredited CABs.

#### 8.8 FSC certificate database

As of 2008, the FSC certificate database [www.fsc-info.org](http://www.fsc-info.org) is managed by FSC Global Development GmbH.

#### 8.9 Follow-up on other topics raised at the 2008 ASI-CB meeting

The following CAB requests at the end of the 2008 annual CAB meeting have been considered:

- More communication with CABs to set up the agenda for next (2009) CAB meeting:

A proposed draft agenda was circulated on 28 October 2008. Comments received were taken into account in a revised agenda circulated on the 15th of December 2008.



The proposed final agenda was circulated at the end of January 2009. This final agenda is flexible and can of course be revised on the first day of the meeting if necessary, following the pre-CB meeting.

- Presentations to be circulated prior to the meeting:

ASI presentations will be short and focused on main issues. ASI will distribute as many documents or presentations as possible prior to the meeting. For example, the new proposed draft accreditation agreement has been circulated to all CABs. However, this may not be possible for all topics.

#### 8.10 List of action points agreed after 2008 ASI-CAB meeting

##### **ASI Action:**

- ASI will review the format of the annual CAB meeting taking CAB proposal into consideration:**

This was done and the format of the ASI-CAB meeting was adjusted to reflect the proposals made at the last meeting.

- ASI will organize the next CB meeting towards the beginning of 2009, (in February/March) and a date will be proposed well in advance:**

The date for the 2009 ASI-CAB meeting was proposed around October 2008 and the meeting is taking place early in the year, on the 1<sup>st</sup> week of March.

- ASI Information to be distributed at least 2 weeks in advance of the meeting:**

ASI did not manage to do this. This ASI annual report is distributed 1 week in advance of the meeting. Not all presentations are ready at this stage.

##### **ASI Action:**

- ASI to develop a new assessment sampling rate proposal. CABs to be invited to comment on this new ASI proposal:**

A new proposal has been developed by ASI as part of the review of ASI QMS. ASI new sampling procedure took into account the comments received during the last ASI-CAB meeting, along with the policy motions voted by FSC membership at the last FSC General Assembly. The new ASI sampling procedure will be presented at the ASI-CAB meeting.

##### **ASI Action:**

- ASI is to review the short notice audit procedure to take the comments received into account, to build on the experience gained following the audits in China and to clarify the criteria for implementing short notice audits. ASI will also look at other possible alternatives:**

As part of its QMS review, ASI reviewed its surveillance procedure. The procedure now includes options for ASI short notice assessments and compliance audits. The new ASI procedure will be presented at the ASI-CAB meeting.

- ASI to resend the draft Code of Conduct (already prepared and circulated in 2006-2007) to CAB's for comments:**

ASI has been working on this Code of Conduct and will present a new proposal to all CABs at the ASI-CAB meeting. The new draft proposal will be circulated to all ASI accredited CABs after the meeting, once comments received have been incorporated.

- ASI to suggest proposals to improve consistency between CABs' performance and the quality of the field evaluations being performed:**

ASI proposes to establish a new registry for FSC lead auditors which should allow ASI to better and more systematically monitor the performance of all CAB's lead auditors for the FSC program.



**ASI Action:**

- **ASI to improve its communication strategy with CABs and inform them when a complaint has been forwarded to ASI. CAB will be requested to react in writing within a specific timeframe so that the response can be communicated to the stakeholder(s). If no satisfactory response is received within this timeframe, then ASI will be entitled to step in:**

ASI has followed this procedure.

**ASI Action:**

- **It was agreed that the proposed daily rate of €600 would become effective in 2008. Proposed date of introduction is 01 April 2008.**
- **ASI also indicated that ASI daily rate will be increased to 700 Euros in January 2009. Further increases in the following years are not planned at this stage, but the ASI daily rate could be reviewed periodically to take the inflation rate into account:**

ASI daily rate for 2009 has been confirmed in an e-mail dated 28 October 2008.

**ASI Action:**

- **ASI will review the options for technical calibration:**

ASI has included a two day technical session in the agenda of the ASI-CAB meeting so that specific technical topics related to FSC FM and COC certification could be discussed, together with the participation of FSC Policy and Standard Unit.

**ASI Action:**

- **On request, ASI will participate in the training courses of CABs. A more formal and detailed training proposal will be developed on the basis of the experiences gathered from this process:**

ASI proposal presented to all CABs at the last ASI-CAB meeting to send experienced ASI Accreditation Program Managers to participate in CAB's training session has not been very successful. Unfortunately, it has not been possible to draw any experience from this.

**ASI Action:**

- **ASI to develop some guidance for specific regions:**

ASI has implemented a Policy for China, following consultation with CNCA in China.

For other regions such as Congo Basin, Amazon or Russia, ASI has not developed any written guidelines but has performed a large number of assessments to ensure consistency between the CABs.

ASI has been planning to develop specific guidance for CABs operating in Russia. However, the introduction of the new Russian legislation followed by the endorsement of the new FSC standard for Russia has made it difficult for ASI to develop specific guidance, as the context and requirements have been changing. ASI will prepare a presentation on the situation in Russia for the ASI-CAB meeting.

**ASI Action:**

- **ASI proposed to review the fee and to circulate a new proposal to CABs. Once there is agreement of the proposed scheme, this annual fee could be linked to the introduction of the new contract between ASI and CABs:**

The ASI annual fee proposed by ASI at the 2008 ASI-CAB meeting is dependent on many factors linked to the introduction of the new FSC trademark licensing fee. This section has been deleted from the new draft FSC-CAB accreditation agreement and has been replaced by the FSC AAF Policy which is currently valid.

