

**Accreditation Services International GmbH**

**RSPO Phase-2 Pilot Project**

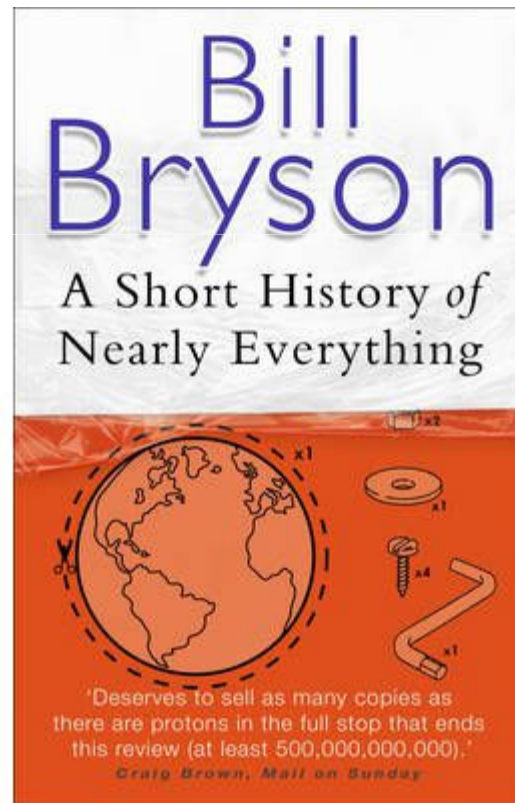
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# **Assessment & training of Auditors/Certification Bodies**

Simon Armstrong  
22<sup>nd</sup> November 2011



- A short history of nearly everything .....



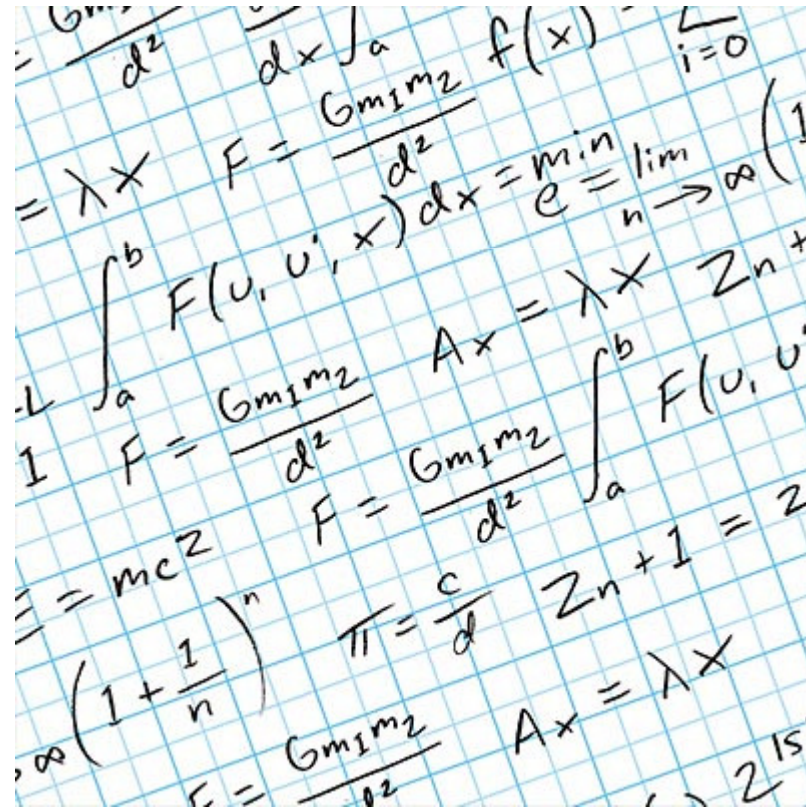
- Not overloading



- Not missing something important out



- Not too complex



# Content

- Background to the Phase-2 project
- Findings
- Identified target areas going forward
  - Clarity of requirements
  - Structures and processes
  - Stakeholders



# What is not covered

- Findings from audits remain confidential
- Will not be covering individual audits



# Some terms

- Certificate Holder (or applicant)
- Certification Body (issues certificate)
- Stakeholder

*An individual or group with a legitimate and/or demonstrable interest in, or who is directly affected by, the activities of an organisation and the consequences of those activities.*





# Background



# Background to Phase-2

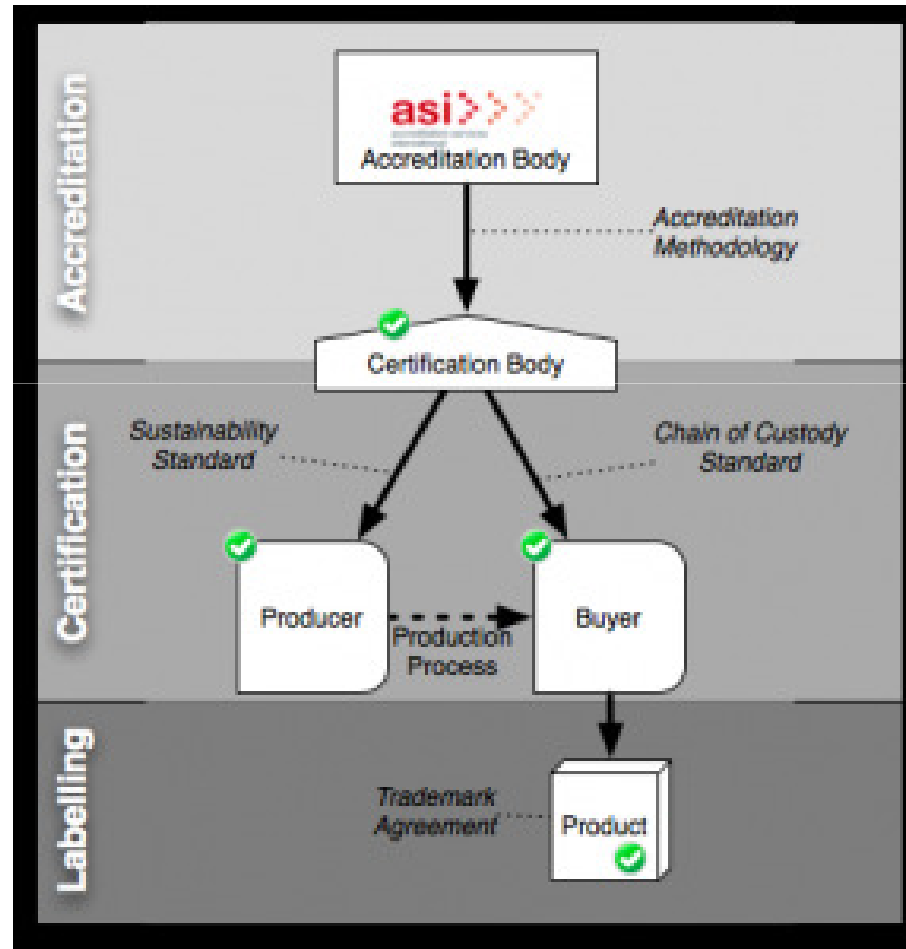
- ASI (Accreditation Services International GmbH)
- Based in Germany
- Originated from the FSC (Forest Stewardship Council). Now a separate company
- Accreditation for
  - Forest, Marine, Aquaculture SC's
  - Developing other programmes, inc. coffee



# Accreditation

- Assessing organizations that provide certification against recognized standards.
- It demonstrates the organization's competence, impartiality and performance capability and is the key to reducing risk and ensuring that consumers, suppliers and purchasers can have confidence in the services provided.







- The global association for social and environmental standards

- Peer review of members



# Background to Phase-2

- FSC (Forest Stewardship Council)
- Established in 1993
- Now approximately 20,000 certificates.
- Global coverage
- 28 Certification Bodies
- 2 (main) types of certificate
  - Production base FM, (P&C)
  - Supply chain CoC, (SCCS)



# Background to Phase-2

- FSC (Forest Stewardship Council)
- Intense scrutiny from NGOs
- Needed to develop definitions of complex concepts (what is 'responsible forestry?') – HCV
- Adapting international standards to incorporate regional variation
- Active and ongoing input from diverse range of stakeholders



# Phases -1, 2, 3

- May 2010 . RSPO-ASI service agreement between RSPO and ASI for implementation of independent accreditation services
- 2010. (Phase-1). 2 office and 1 P&C witness audits
- 2011 (Phase-2)
- All remaining CB office audits
- 3 P&C witness assessments (Malaysia, Indonesia, PNG). - No SCCS witness audits
- New CBs and extension of scope (SCCS)
- 2012. Phase 3: implementation of full ASI accreditation scheme





# Outcomes

- Greater credibility through external evaluation of performance
- Greater consistency between performance of Certification Bodies and hence Certificate Holders
- A level playing field



# Findings

- The requirements can be complex to implement ...
- and to audit
- Social issues are probably the most complex area
- Doing it well probably requires specialists
- Differing interpretation of requirements and roles



# Findings

## Based on

- Direct comments received
- Observations



# Findings

Relating to

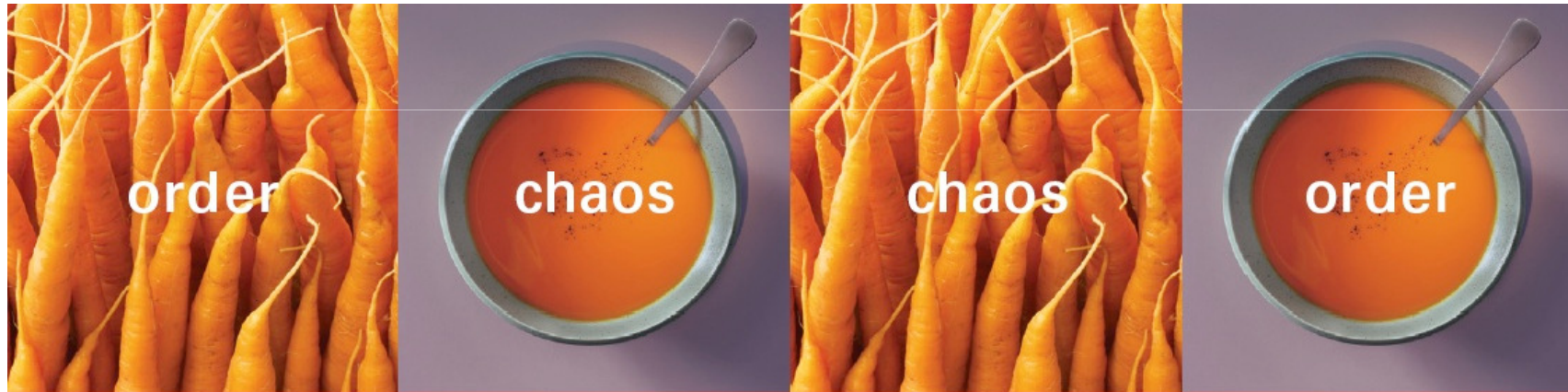
- Certificate Holders
- Certification Bodies



# Differing interpretations



# A common understanding



# A common understanding

All requirements are known to all

- Easy to find
- Complete
- Disseminated



# A common understanding

## 2 big topics

- Partial certification
- Legality of land use





## Partial certification

What are the requirements on CBs to determine compliance of organisations effectively outside the scope of the audit?



## Legality of land use

What the are minimum requirements to be able to demonstrate legality of land use?



Other apparently minor but significant issues, for example

Lead auditor requirements “*at least five years professional experience in an area of work relevant to the audit*”



## For Certificate Holders

Do companies have to demonstrate full compliance with all requirements before being certified?



## For Certificate Holders

Is progress towards compliance  
adequate?



# Example

During an audit it is found that the company has applied for the legally required operating permits from the Government 2 years ago but still has not received a formal reply



# Mechansim

- A common understanding is different from agreeing what the requirements should be
- Probably requires a significant technical input
- Based on feedback from practitioners



# Mechanism

- The development and interpretation of requirements will be ongoing
- Open dissemination of changes and any interim interpretations





# Areas to investigate

- Gaps in requirements (where the standards are silent)
- Requirements that would benefit from re-writing
- Requirements needing explanation





# Structures

3 main players;

- RSPO
- Certification Bodies
- Certificate Holders



## Clear roles relating to

- Standards development
- Interpretation of requirements
- Advice to applicants
- Certification decision making
- Stakeholder engagement



## Additional players;

- ASI
- Stakeholders



- Awareness of ASI's role going forward
- Moving from RSPO approval to ASI accreditation



# Stakeholders

What role do stakeholders have in certification?

How proactive and responsive should Certificate Holders and Certification Bodies be?



# Stakeholders

Ensuring stakeholders are informed

Effective engagement and response





# Processes

Process and procedures behind these  
structures



# Looking forward



# Looking forward

A shared understanding of

- Requirements
- Roles



# Looking forward



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**THANK YOU**

22<sup>nd</sup> November 2011

