

# Accreditation Procedure

ASI-PRO-20-101 - Version 5.1

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## 1. PURPOSE AND SCOPE

- 1.1 This procedure describes the general Accreditation process of ASI. It specifies the requirements for Conformity Assessment Bodies (CABs) seeking to apply for and maintain ASI Accreditation. It covers processes such as Accreditation application, maintenance, reaccreditation, scope extension and reduction, transfer, Suspension and Withdrawal of accreditation.
- 1.2 This procedure explains the duties and responsibilities of ASI and CABs (accredited and applicant) during the Accreditation Cycle. It applies to all Accreditation activities and is binding for all parties involved in the process of Accreditation.
- 1.3 Other applicable operational activities and responsibilities of ASI and CABs are described in additional supporting ASI procedures and Accreditation Requirements.

## 2. CHANGE HISTORY

Version number	Date of approval	Description of changes
1.0	unknown	First publication
2.0	26/02/2009	Minor review
3.0	11/08/2010	Minor review to reflect changes in the organizational structure, flow charts
3.1	31/01/2012	Minor review
4.0	30/04/2014	Major review: Separation of CAB requirements from ASI internal instructions, incorporation of reviewed ASI procedure for extension, reduction, Suspension and Termination of Accreditation, publication of Assessment Reports, inclusion of Reaccreditation requirements, requirements on how to lift Suspension and requirements for transfer of Accreditation, change of terminology to reflect ISO language (e.g. Withdrawal), removal of flow charts.
5.0	01/08/2019	Major review: Update to reflect and comply with ISO 17011:2017. Addition of definitions. Clarification of Accreditation processes and structure. Decision-making moving from ASI Managing Director (MD) to Accreditation Committee (AC). Accreditation will have no expiry date. Deadlines changed to calendar days. Obligations for CABs and ASI during Accreditation Cycle. New sections (Accreditation Requirements, EOF, Accreditation Decisions, Scope of Accreditation, Notification of Accreditation, Sanctions, Cost of Accreditation, information Disclosure Requirements, Revision of Accreditation Requirements, Disputes, Public notice and Information).
5.1	08/12/2020	Minor change to reflect version 6.0 of Appeals Procedure (updated clause 11.7 to remove option to appeal rejection of application for applicant CABs).

## 3. TERMS AND DEFINITIONS

- 3.1 All terms and definitions, where not defined below, are provided in the ASI Glossary ([ASI-INF-20-100](#)).
  - **Accreditation Cycle:** Begins at or after the initial Accreditation Decision date or decision after a Reaccreditation Assessment and shall not be longer than five years. Before the end of a cycle, a reaccreditation Assessment shall be conducted prior to cycle expiration.
  - **Accreditation Decision:** Decision on Granting, Maintaining, Extending, Reducing, Suspending and Withdrawing Accreditation.

- **Accreditation Report:** The report prepared by ASI for the Accreditation Committee used to support the recommendation for an Accreditation Decision.
- **Accreditation Requirements:** Entirety of requirements the Conformity Assessment Body has to fulfill to qualify for being Accredited to a certain Certification Scheme and for maintaining such Accreditation. Some of these requirements are set by ASI (ASI Accreditation Requirements) and others are set by the Scheme Owner (SO Accreditation Requirements).
- **ASI Accreditation Requirements:** Those Accreditation Requirements which are set by ASI. These are currently contained in the documents (information documents, policies, procedures, guidance and templates) listed in section 4 of ASI-INF-20-120 'Controlled List of Public ASI QMS Documents' and published on ASI's website ([www.asi-assurance.org](http://www.asi-assurance.org)). As far as the listed documents incorporate other publicly available documents by reference, further requirements set up in such other documents are also considered part of the ASI Accreditation Requirements.
- **SO Accreditation Requirements:** Those Accreditation Requirements which are set by the Scheme Owner of the relevant scheme. These are contained in documents (e.g. standards, policies, procedures, advice notes, interpretations, etc.) published and maintained by the Scheme Owner. As far as these documents incorporate other publicly available documents by reference (e.g. ISO standards), further requirements set in such other documents are also considered part of the SO Accreditation Requirements.
- **Management System:** A set of policies, procedures and practices an organization needs to follow in order to meet its own objectives. A Management System can address a single discipline or several disciplines, e.g. quality management, financial management or environmental management (ISO 9000:2015).
- **Quality Management System (QMS):** Part of a Management System with regard to quality.
- **Scheme Owner (SO):** Person or organization responsible for developing and maintaining a Certification Scheme or standard system and that owns the intellectual property, copyright, trademarks and other rights to a Certification Scheme (adapted from ISO 17067:2013). Scheme Owners are responsible for developing, reviewing, revising and interpreting their standards.
- **Certification Scheme:** Certification System related to Management Systems or specified products to which the same specified requirements, specific rules and procedures apply (adapted from ISO 17000:2004).
- **Reaccreditation Assessment:** Assessment performed to renew the Accreditation Cycle. This Assessment shall confirm the competence of the Conformity Assessment Body and shall cover all the requirements of the standard(s) for which the Conformity Assessment Body is Accredited. An Accreditation decision shall be made after the Reaccreditation Assessment.
- **Errors of Fact (EOF):** A statement by a Conformity Assessment Body claiming an inaccuracy or a mistake in the content of an ASI Assessment Finding or in the content of an Accreditation Report.
- **Sanction:** An action taken by ASI in response to a failure by the Conformity Assessment Body to meet its Accreditation obligations. A Sanction is not the same as a Nonconformity.

#### 4. EFFECTIVE DATE

This procedure becomes effective on **15 January 2021**.

#### 5. ASSOCIATED DOCUMENTATION

The following documents are indispensable for the application of this document.

5.1	Standards and Policies	Applicable Scheme requirements
5.2	Procedures, Guidelines	All ASI documents listed in section 4 of ASI-INF-20-120 'Controlled List of Public ASI QMS Documents' and published on ASI's website ( <a href="#">here</a> )
5.3	Checklists, Templates, etc.	ASI Service Agreement ASI-TPL-20-102-Accreditation Application Form ASI-TPL-20-216-Scope Extension & Reduction Application Form CHK-20-203-Accreditation Transfer

#### 6. GENERAL

- 6.1 ASI Accreditation activities for a Scheme Owner (SO) are carried out following appointment of ASI by the relevant SO.
- 6.2 ASI does not rely on Accreditations issued by other Accreditation Bodies (ABs) or SOs. However, there may be exceptions in cases where ASI has concluded agreements with other ABs, which explicitly describes the roles and responsibilities of the parties involved and defines recognition levels of each party's work.
- 6.3 ASI may consider the results of independent Assessments of CAB Conformity against relevant standards but shall not be bound by the findings of other ABs or by approval and evaluations by SOs.
- 6.4 ASI delivers Accreditation services worldwide and operates in English. All information requested by ASI shall be submitted in English unless otherwise approved by the Program Manager (PM). This may lead to additional translation cost for the CAB.
- 6.5 ASI Assessment results are administered through the ASI Accreditation Management System (AMS). The CAB is granted access to the AMS via the CAB Portal. ASI and the CAB shall maintain and keep up-to-date all communication and Assessment information in the CAB Portal.

#### 7. SCOPE OF ACCREDITATION

- 7.1 The Scope of Accreditation refers to the area(s) of competence for which a CAB's Certification Activity is covered by the ASI Accreditation. The Scope of Accreditation in the ASI accreditation certificate and annex specifies the following:
- 7.1.1 Scheme Owner,
  - 7.1.2 type of activities and/or products covered (ASI technical scope),
  - 7.1.3 standards and/or other normative documents and mandatory requirements with respect to the activities, services products and/or systems that are certified,
  - 7.1.4 geographical area in which the Certification Activities occur (ASI geographical scope).

## 8. ACCREDITATION REQUIREMENTS

- 8.1 Accreditation shall only be granted and maintained if the CAB (applicant and accredited) commits to continually fulfil the Accreditation Requirements and to provide evidence of such fulfilment. This means both the ASI Accreditation Requirements and the SO Accreditation Requirements of any Certification Scheme and scope for which Accreditation is sought or granted.
- 8.2 The CAB shall comply with:
- 8.2.1 The SO Accreditation Requirements as defined in the normative documents of the respective SO.
  - 8.2.2 The ASI Accreditation Requirements published in the ASI Controlled List of Public Documents ([ASI-INF-20-120](#)).
- 8.3 In the case that the SO has not defined Accreditation Requirements, ASI reserves the right to develop its own Accreditation Requirements for the respective Scheme to be able to carry out the work expected from ASI as agreed with the SO.
- 8.4 ASI shall only consider public official SO interpretations about SO Accreditation Requirements and not individual interpretations.

## 9. ERRORS OF FACT

- 9.1 The CAB is given the opportunity to file Errors of Fact (EOF) for:
- 9.1.1 ASI findings via the CAB Portal upon receipt of the Summary of Findings (SOF) after each Assessment, and
  - 9.1.2 Accreditation Reports via email upon receipt of the draft report before the Accreditation Decision.
- 9.2 The deadline to file EOF is 10 calendar days. ASI may grant an extension of the deadline if the CAB sends a written request via email before the deadline. The request shall contain an objective justification explaining why the CAB is not able to file EOF within the original timeline.
- 9.3 If EOF are filed within the deadline, ASI shall review them and amend the finding or Accreditation Report as far as EOF are considered justified by ASI.
- 9.4 If EOF for an ASI finding are not filed by the CAB within the deadline, EOF for said finding cannot be presented at the Accreditation Report EOF stage.
- 9.5 If EOF are not filed within the deadline (or, in case of an extension, within the extended deadline), all facts contained or omitted in the SOF or Accreditation Reports which the CAB does not correct or amend (by filing EOF to ASI) within this deadline shall be considered true and accurate unless it is or becomes obvious that the information is untrue. As far as the factual basis for a decision is considered accurate in this regard, the CAB shall not Appeal or otherwise challenge the decision later, based on the allegation that statements of facts are not accurate.
- 9.6 The CAB shall only be able to contest an Accreditation Decision on the basis that a fact contained in the SOF or Accreditation Report is untrue **if** an EOF has been filed against that fact within the deadlines (s) described above.

## 10. ACCREDITATION DECISIONS

- 10.1 Accreditation Decisions (decisions Granting, renewing, Extending and Reducing technical Scope, Suspending and/or Withdrawing Accreditation for all or part of the requested Scope) are made by the ASI Accreditation Committee (AC) unless otherwise specified in this Accreditation Procedure. When making an Accreditation Decision, the AC acts as a representative of ASI, and the decision is consequently attributed to ASI. No legal or contractual relationship is established between the AC (or any subset thereof) and a CAB. The AC shall have access to all Assessment Reports and Nonconformities (NCs) issued, including ASI and CAB responses to these.
- 10.2 An Accreditation Decision made by the AC is based on an Accreditation Report prepared by ASI for the AC. The Accreditation Report may include a recommendation on how to decide, but any such recommendation is non-binding for the AC. The decision-making process starts with the preparation of the Accreditation Report.
- 10.3 Before the Accreditation Report is sent to the AC, the report shall be shared with the CAB and the CAB shall be given 10 calendar days to file EOF on relevant factual content of the report (section [9](#) applies).
- 10.4 If any EOF are filed according to section 10.3 above, these shall be provided to the AC together with the Accreditation Report.
- 10.5 The AC shall communicate its decision to ASI within 30 calendar days of receipt of the Accreditation Report. ASI shall notify the CAB of this decision in writing within 5 calendar days of the decision of the AC, including a copy of the final Accreditation Report.
- 10.6 Other Accreditation Decisions, which do not require an Accreditation Report, are delegated as follows:
- 10.6.1 Decisions for Maintaining Accreditation are delegated to ASI Program Managers (PMs).
  - 10.6.2 Decisions for Extending or reducing geographical scope are delegated to the Operations Director (OD).
  - 10.6.3 Decisions for Extending or Reducing Technical Subscopes are delegated to the OD.
  - 10.6.4 Decisions where reduction of scope, Suspension or Withdrawal of Accreditation are voluntarily requested by the CAB are delegated to the OD.
- 10.7 Other decisions such as pausing or stopping the Accreditation process can occur during the application stage and can be made by the OD.
- 10.8 For all Accreditation Decisions, ASI may specify additional requirements for CABs to manage ongoing risks to the integrity of their Accreditation.
- 10.9 The CAB may appeal Accreditation Decisions in accordance with the ASI Appeals Procedure ([ASI-PRO-20-103](#)).
- 10.10 The failure of ASI to comply with a procedural provision does not render an Accreditation Decision invalid.



## 11. APPLICATION FOR ACCREDITATION

- 11.1 Information about the application process, including the application forms, is available on the ASI website ([here](#)).
- 11.2 The applicant CAB shall be a legal entity that performs Conformity Assessment Services and that can be the object of Accreditation.
- 11.3 Applications shall be made electronically via the form on the ASI website ([here](#)) or, in the case of technical or accessibility issues, via the Accreditation application form ([ASI-TPL-20-102](#)).
- 11.4 All information requested by ASI, including the application and supporting documentation (application package), shall be completed in English.
- 11.5 In a first stage, ASI acknowledges and conducts a screening of the application package within 10 calendar days of its receipt. Additional information and/or clarification may be requested from the applicant and an incomplete application may be rejected.
- 11.6 In a second stage, ASI evaluates the application package and informs the applicant CAB within 30 calendar days of receiving the complete application package whether the application has been accepted or rejected.
- 11.7 If the application is rejected, ASI shall provide the applicant CAB with a justification.
- 11.8 ASI shall reject the application or end the Accreditation process:
- 11.8.1 If at any time during the application or initial Assessment process, there is evidence of fraudulent behavior;
  - 11.8.2 If the applicant intentionally provides false information or conceals information;
  - 11.8.3 If any known violation of laws and regulations by the CAB would bring ASI into disrepute;
  - 11.8.4 If there is lack of compliance by the CAB with local regulations and legal requirements in the country or region of operation;
  - 11.8.5 If there is regulatory or safety restrictions for ASI to implement its Accreditation process; or
  - 11.8.6 If a due diligence review reveals that the risks of a business relationship with the applicant is too high.
- 11.9 Once ASI has determined that the application is accepted, the CAB shall sign a service agreement with ASI.
- 11.10 If a CAB wishes to reapply for Accreditation after a rejection, a new application shall be submitted, and a new application fee paid.
- 11.11 The CAB shall inform ASI in writing if, during the application process, the CAB decides not to pursue Accreditation and to withdraw from the process.
- 11.12 Changes to the Accreditation scope requested in the original application form are only possible if the CAB submits a formal scope extension/reduction application as detailed in sections [19](#) and [20](#) below.
- 11.13 In the case of significant changes in any aspect of the applicant's status or operations during the application process, ASI may request the applicant to submit a new application and to pay a new application fee. Significant changes may include changes to CAB structure or procedures which require the review of new documents and processes and thus increased ASI evaluation time.



## 12. PRELIMINARY VISIT

- 12.1 A one-day preliminary visit at the cost of the applicant CAB may be conducted in the following situations with the agreement of the CAB:
- 12.1.1 If, at time of the application, the applicant CAB has not performed any Conformity Assessment Activities or services whatsoever;
  - 12.1.2 If deemed necessary by ASI following identification of issues or significant deficiencies with the submitted information that raise doubts about the CAB's ability to fulfil Accreditation Requirements; or
  - 12.1.3 Upon applicant request.
- 12.2 The purposes of a preliminary visit are to evaluate the suitability of the applicant's quality Management System (QMS), to confirm the Scope of Accreditation, to determine the readiness of the CAB for undergoing Accreditation, to verify submitted documentation and for the applicant to better understand the ASI Accreditation process.
- 12.3 Following the visit, a report shall be prepared by ASI which summarizes the purpose and conclusions of the visit. Any issues identified will be notification of Opportunities for Improvement (OFIs). During this process, ASI will not provide consultancy at any time.

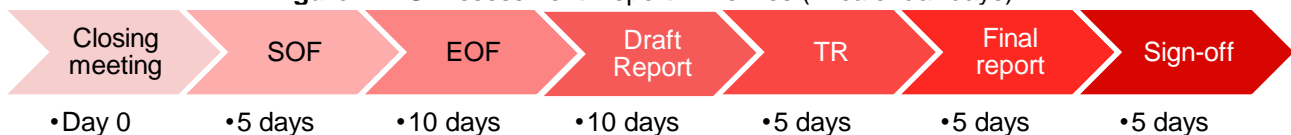
## 13. GENERAL ASSESSMENTS REQUIREMENTS

The following requirements are applicable to all types of ASI Accreditation Assessments.

- 13.1 ASI shall allocate an Assessor or team of Assessors for each Assessment. An Assessment Team can include a team leader, co-Assessors, trainees, Technical Experts and translators. Observers may join an Assessment, if previously agreed by the CAB, but they are not considered part of the team.
- 13.2 Before each Assessment, ASI shall inform the CAB about the Assessment Team composition and any Observers.
- 13.2.1 The CAB may submit a written objection against Observers within 5 calendar days of notification from ASI about the team composition and Observers.
  - 13.2.2 The CAB may submit a written objection against team member(s) in the case of existing or perceived Conflict of Interest (COI) within 5 calendar days of notification from ASI about the team composition and shall include objective evidence to support any claims made.
  - 13.2.3 ASI shall review the objection(s) and may change the team composition if deemed justifiable, to mitigate or eliminate existing or perceived COI.
  - 13.2.4 Due to timelines, CAB objections against Assessment Teams used in Short Notice and Unannounced Assessments may not be possible.
  - 13.2.5 Notification of the ASI team for Witness Assessments is dependent on the CAB informing ASI in a timely manner about the CAB Audit dates.
- 13.3 ASI shall share an Assessment Agenda and Budget at least 15 calendar days prior to any Assessment, except for Short notice or Unannounced Assessments. For Witness Assessments, the CAB shall notify ASI of its Audit dates and team members at least 30 calendar days prior to the Assessment and of its Audit agenda at least two weeks prior to the Audit.

- 13.4 All Head Office (HO), Affiliate Office (AO), Witness and Compliance Assessments shall start with an opening meeting. For Desk Review, the CAB shall be given an opportunity to request an opening meeting.
- 13.5 All Assessments, including Desk Reviews, shall be concluded with a closing meeting. If there is disagreement regarding any of the findings, they should be discussed and resolved at the closing meeting if possible. If not resolved, the disagreement shall be noted in the SOF and in the final Assessment Report. The CAB is encouraged to involve their senior management in opening and closing meetings.
- 13.6 Opening and closing meetings may be held remotely if needed, with previous agreement of both parties.
- 13.7 ASI Assessment Report timelines for all Assessment types are given in calendar days and start at the closing meeting (see Figure 1).
- 13.7.1 ASI shall share a SOF within 5 calendar days of the closing meeting and the CAB shall have 10 calendar days upon receipt of the SOF to file any EOF.
- 13.7.2 All reports undergo a Technical Review (TR) and a sign-off process and because of these, the grading and wording of findings may change between the SOF and the final report. Any changes shall be indicated in the final Assessment Report.
- 13.7.3 ASI shall share a final Assessment Report with the CAB within 40 calendar days of the Assessment closing meeting.

**Figure 1: ASI Assessment Report Timelines (in calendar days)**



- 13.8 The CAB shall carry out a Root Cause Analysis (RCA) to determine the cause and extent of the NC and provide evidence of effective implementation of Correction and Corrective Actions (CA) for each NC. Further details can be found in the ASI Assessment Findings Procedure ([ASI-PRO-20-106](#)).
- 13.9 The CAB shall facilitate and cooperate in all ASI Assessments to ensure a constructive and professional Assessment environment.
- 13.9.1 The CAB shall provide unrestricted access to premises and documentation that pertain to the certification process, their operations and Scope of Accreditation.
- 13.9.2 Access to premises and documentation shall be provided for all members of the ASI team. Such access shall also include AOs, if ASI determines this is necessary.
- 13.9.3 The CAB shall have enforceable arrangements with their clients to ensure ASI access to witness the CAB's Audit or to conduct a Compliance Assessment at the client's site, and to ensure that ASI has access to relevant documents.

## 14. INITIAL ASSESSMENT

- 14.1 Upon acceptance of the application, ASI shall share scheme-specific checklists with the CAB. The CAB shall complete and return them to ASI together with supporting documentation prior to the commencement of the Assessment to demonstrate that Accreditation Requirements are met.

14.2 Upon receipt of the completed checklists and documentation, ASI shall conduct three types of Assessments, in the sequence specified below:

**1) Desk Review** of the CAB application and documentation

- i. The Desk Review is the first Assessment and includes the review and evaluation of the applicant's documentation to determine:
  1. whether the CAB's documentation meets the applicable Accreditation Requirements and
  2. whether the requirements have been suitably integrated into the CAB's Management System and operating procedures.
- ii. The scheduling of the Assessment should take place within 30 days of receipt of the documents outlined in 14.1.

**2) Office Assessment(s)** (Head Office (HO) and Affiliate Office (AO))

- i. Office Assessments include the review and evaluation of the implementation of the CAB's QMS and documented procedures. The aim is to determine the competence of the CAB to carry out the Conformity Assessment Activities in accordance with all Accreditation Requirements.
- ii. AOs are also subject to initial Assessment as deemed necessary by ASI. This depends on the nature of activities carried out by the AO and the extent of control exercised by the CAB.
- iii. A CAB's key personnel shall be available to the ASI Assessment Team during Office Assessments unless otherwise agreed with ASI.

**3) Witness Assessment(s)** for each Scope of Accreditation.

- i. ASI shall conduct at least one Witness Assessment per technical scope to verify the competence of the applicant CAB to conduct Audit s of its clients for each scope. It is at ASI's sole discretion to determine if all or fewer scopes need to be witnessed.
- ii. For applicant CABs, the Witness Assessment shall be concluded after the final CAB Audit report and relevant CAB records of TR and decision-making are sent to ASI. This implies a postponement in the ASI deadline for report finalization.
- iii. For accredited CABs, Witness Assessments normally end after the CAB's closing meeting with its client, unless ASI requests to review the final Audit report. Further details can be found in the ASI Witness & Compliance Assessment Procedure ([ASI-PRO-20-111](#)).
- iv. Certain types of CAB Audit s may not be suitable for initial Witness Assessments (e.g. Audit scope not covering full technical scope, transfer of certificates among CABs, etc.). ASI may reject witnessing such Audits.

**Note:** ASI reserves the right to conduct additional Assessments or to change the sequence of Assessments. In such cases, a justification shall be provided.

- 14.3 To proceed to the next Assessment in the sequence, all major NCs from the previous Assessment shall be closed. Minor NCs are not required to be closed to proceed but shall have a plan approved by ASI including a RCA and an indication of how and when these will be addressed (planned Correction and CA).

**Note:** Deviations from this rule may be approved by ASI subject to a clear justification. For example, major NCs may be closed at the HO or at the Witness Assessment if onsite verification is feasible. Further, a CAB's request to conduct the Witness Assessment immediately after the HO may be approved. However, in such cases, the CAB shall accept that a second Witness Assessment may be needed if the findings raised in the HO need to be verified in another Witness Assessment.

- 14.4 If the CAB applies for more than one Scheme, ASI may combine the HO Assessments (unless the CAB requests otherwise).
- 14.5 The applicant CAB shall respond to any requests for clarification, additional documents and/or information and to any NCs within the deadlines indicated by ASI.
- 14.6 ASI places the name of applicant CABs on the ASI website following the closure of all major NCs from the HO Assessment. From that moment onwards, the applicant may advertise their status as an applicant, inform any clients or potential clients of their applicant status and use the ASI trademark as outlined in the ASI Trademark Policy ([ASI-POL-20-108](#)).
- 14.7 ASI announces all planned Assessments on its website after the CAB has been added to the website as an applicant.
- 14.8 If the applicant CAB is unable to achieve Accreditation within two years of ASI's receipt of the application, ASI shall stop and cancel the Accreditation process. A full reapplication may be required in such instances.

## 15. INITIAL ACCREDITATION DECISION PROCESS

- 15.1 If, after the completion of the initial Accreditation Assessments, ASI concludes that the CAB's Certification system meets all Accreditation Requirements, including closure of all major NCs, ASI prepares an Accreditation Report for the AC, recommending initial Accreditation.
- 15.2 Before the Accreditation Report is sent to the AC, the report shall be shared with the CAB and the CAB shall be given 10 calendar days to provide EOF (see section [9](#)).
- 15.3 The AC shall communicate its decision to ASI within 30 calendar days of receipt of the Accreditation Report.
- 15.4 If the AC decides in favor of initial Accreditation, ASI shall notify the CAB of this decision in writing within 5 calendar days of the decision of the AC, including a copy of the final Accreditation Report.
- 15.5 If the AC decides against initial Accreditation, ASI shall notify the CAB within 5 calendar days of the decision of the AC, of the basis of the decision and any next steps for the applicant CAB. The CAB may appeal the decision in accordance with the ASI Appeals Procedure ([ASI-PRO-20-103](#)).

## 16. NOTIFICATION OF ACCREDITATION

- 16.1 Accreditation is granted in the form of an Accreditation Certificate and annex signed by the ASI MD with no expiry date and that marks the start of the first Accreditation Cycle.
- 16.2 Accreditation Cycles are renewed every five years after a Reaccreditation Assessment and an AC decision have taken place prior to cycle expiration. For further details, see section [18](#).
- 16.3 A new certificate is only issued if there are changes in CAB name, address or accredited Scheme. In the case of geographical or technical scope changes, only the certificate annex is updated accordingly.
- 16.4 The certificate and annex include the ASI Logo and Symbol, the name and address of the CAB, scope of the Accreditation granted, Effective Date of Granting of initial Accreditation, standards against which the CAB is accredited and a unique Accreditation identification.
- 16.5 The certificate belongs to ASI. A digital version of the certificate is shared with each accredited CAB via email and published on the ASI website. Upon CAB request, hard copies can be shared.
- 16.6 The accredited CAB shall ensure that all Accreditation-related claims are within the scope of the Accreditation Certificate.
- 16.7 The CAB shall only make use of the ASI Logo and ASI Accreditation Symbol as outlined in the Policy on ASI Trademark Requirement ([ASI-POL-20-108](#)).

## 17. MAINTAINING ACCREDITATION

- 17.1 To ensure that an accredited CAB continues to operate in compliance with the Accreditation Requirements, ASI monitors and evaluates the CAB's competence and Conformity throughout the five-year Accreditation Cycle via surveillance Assessments. Further details can be found in the ASI Surveillance and Sampling Procedure ([ASI-PRO-20-105](#)).
- 17.2 The first HO surveillance Assessment should be carried out within 6 months after initial Accreditation.
- 17.3 For each surveillance Assessment, ASI shall provide a conclusion in the final Assessment Report as to whether the evidence from the Assessment supports either maintaining, suspending or reducing Accreditation.
- 17.4 Annual surveillance includes:
- 1) Assessment of HO and a sample of AOs;
  - 2) Witness and/or Compliance Assessment(s);
  - 3) Any other Assessments such as Desk Review, incident follow-up and NC verification as considered necessary by ASI to confirm that the CAB is operating in accordance with the Accreditation Requirements.

**Note:** Surveillance Office Assessments are normally less extensive than initial and re-Accreditation Assessments as they only cover a subset of all Accreditation requirements. In the five-year cycle, all requirements shall be covered.



- 17.5 Once accredited or when a new Accreditation Cycle begins, the CAB will be provided with a provisional surveillance program for the Accreditation Cycle that includes an estimate of total duration for Office Assessments and a projected number of Witness or Compliance Assessments to be carried out for each program. Estimates exclude expenses, travel time and Technical Experts' days.
- 17.6 Each year, ASI shall provide the accredited CAB with a revised 12-month Assessment plan for Office, affiliate and Witness/Compliance Assessments for the upcoming surveillance year. This plan may be modified in line with ASI Surveillance & Sampling Procedure ([ASI-PRO-20-105](#)).
- 17.7 ASI publishes announcements of surveillance Assessments for accredited CABs on its website and carries out Stakeholder consultation for some Assessment types. If Stakeholder comments are received, they are considered by ASI during the Assessment and responded to in the Assessment Report while ensuring Stakeholder confidentiality.
- 17.8 ASI may conduct Extra Assessments in addition to the ASI surveillance Assessment program to investigate Incidents and/or Complaints or the outcome of an earlier Assessment or under other circumstances as deemed necessary by ASI.
- 17.9 ASI may conduct Unannounced Assessments as part of or outside of its surveillance Assessment program in order to address heightened risk or allegations of serious violations or negligence of Accreditation Requirements.
- 17.10 The CAB shall ensure that ASI can conduct Witness and Compliance Assessments of the sample of CAB clients selected by ASI. Further details on selection criteria and scope are given in the Witness & Compliance Assessment Procedure ([ASI-PRO-20-111](#)).
- 17.11 In justified cases, HO Assessment intervals may be extended. In the intervening year where no ASI HO Assessment takes place, the CAB shall, at a minimum, submit its Internal Audit report(s) and management review minutes and inform ASI of any changes to the organization's QMS. ASI may request additional information at any time.

## 18. REACCREDITATION ASSESSMENT

- 18.1 The objective of the Reaccreditation Assessment is to renew the Accreditation Cycle, confirm the competence of the CAB and to evaluate the CAB's management and Certification systems in full, taking into consideration all Assessment knowledge and information gathered during the five-year cycle.
- 18.2 A Reaccreditation Assessment of the CAB's full management and certification systems covering **all requirements of the standard(s)** for which the CAB is accredited, should be carried out approximately nine months before the end of the Accreditation Cycle.
- 18.3 The date of the Reaccreditation HO Assessment closing meeting is the cut-off date for NCs that require a response from the CAB before an Accreditation Cycle can be renewed.
- 18.3.1 All major NCs raised in Assessments up to and including this date shall be closed and all minor NCs raised in Assessments up to and including this date shall have a RCA and planned Correction and CA. All of this must be confirmed and agreed by ASI before ASI can proceed with the preparation of an Accreditation Report.

18.3.2 NCs raised after this date shall not delay the reaccreditation process unless they raise serious questions about the CAB's competence to carry out Certification Activities or pose a risk to the validity of Certification decision-making.

**Note:** All findings raised after the cut-off date but before the Accreditation Report is prepared are presented as a summary in the report. However, these findings are considered part of the next Accreditation Cycle and therefore included in the next cycle renewal decision-making process.

- 18.4 Once all major and minor NCs are addressed as per [18.3.1](#) above, ASI shall prepare an Accreditation Report for the AC also covering key conclusions of Assessments carried out in the cycle and the recommendation for the decision.
- 18.5 The CAB will have the opportunity to provide EOF to the Accreditation Report within 10 calendar days of receipt as per section [9](#) above.
- 18.6 The AC shall communicate its decision to ASI within 30 calendar days of receipt of the report.
- 18.7 If the AC decides in favor of reaccreditation, ASI shall notify the CAB within 5 calendar days of the decision of the AC.
- 18.8 If the Accreditation Cycle expires before the decision-making process can be finished due to a CAB failure to demonstrate conformance with [18.3.1](#), the CAB shall be suspended. Suspension shall be lifted by ASI, without AC involvement, once the CAB demonstrates conformance with 18.3.1 in order for the reaccreditation process to continue.
- 18.9 If the Accreditation Cycle expires before the decision-making process can be finished for reasons beyond CAB control, the CAB's Accreditation will remain valid.
- 18.10 If a major NC raised during the Reaccreditation Assessment is appealed or is under Appeal investigation during an Accreditation Cycle renewal process, the AC review shall be postponed until the Appeal is closed. The CAB's Accreditation will remain valid.
- 18.11 If the AC decides against reaccreditation, ASI shall notify the CAB within 5 calendar days of the decision of the AC, of the basis for the decision and any next steps on behalf of the CAB and ASI. The CAB may appeal the decision in accordance with the ASI Appeals Procedure ([ASI-PRO-20-103](#)).

## 19. SCOPE EXTENSION

- 19.1 Technical and geographical scope extensions shall only occur upon CAB request.
- 19.2 Applications shall be made electronically via the ASI CAB Portal or, in the case of technical or accessibility issues, via the Scope Extension and Reduction Application Form ([ASI-TPL-20-216](#)).
- 19.3 A scope extension application may be evaluated:
- 19.3.1 during a regular surveillance Office Assessment if the request it is sent to ASI at least 90 calendar days before the scheduled Assessment; or
  - 19.3.2 at a different time if the 90-calendar day notification cannot be met.



- 19.4 After reviewing the application, ASI shall determine the duration and type of Assessments that will be needed. For technical scope extensions, a Witness Assessment shall always be required.
- 19.5 Scope extensions require the following decision-making:
- 19.5.1 For a technical scope extension, an Accreditation Report shall be prepared for the AC as per section [10](#).
  - 19.5.2 For Technical Subscope extension, the OD shall take the decision without AC involvement.
  - 19.5.3 For geographical scope extension, the OD shall take the decision without AC involvement.
- 19.6 For geographical scope extensions, the following process shall be applied:
- 19.6.1 The CAB is required to provide evidence that it has access to sufficient resources to manage the geographical scope(s), including personnel, languages, Management Systems, AOs or subcontractors, arrangements to cover potential liabilities from Conformity Assessment Activities in the newly proposed countries, etc.
  - 19.6.2 ASI may specify additional conditions during the geographical scope extension to monitor CAB expansion activities and the sufficient access to resources to ensure there are no risks to the integrity of the issued Accreditation.
  - 19.6.3 ASI may decide not to conduct an additional Assessment if:
    - 1) an Accreditation Decision can be made based on current knowledge of a CAB's system if it is accredited for other ASI programs;
    - 2) the scope extension is minor (e.g. a country in a region where the CAB already operates); or
    - 3) there is an upcoming Office Assessment at which this can be evaluated.
- 19.7 Upon a favorable scope extension decision, ASI uploads a revised certificate annex on the website including the new technical and/or geographical scope and shares the revised digital version with the CAB via email.

## 20. SCOPE REDUCTION

- 20.1 Technical and geographical scope reductions can occur upon ASI recommendation or upon CAB voluntary request.
- 20.2 ASI may recommend a scope reduction to the CAB based on evidence from one or more surveillance Assessments, from a reaccreditation Assessment or from lack of compliance with local regulations in the country of operations.
- 20.3 Scope reductions based on ASI recommendation require the following decision-making:
- 20.3.1 For technical scope reduction, an Accreditation Report shall be prepared for the AC as per section [10](#).
  - 20.3.2 For geographical scope reduction, the OD shall make the decision without AC involvement.
- 20.4 A CAB may voluntarily reduce its Accreditation for all or for parts of its technical and/or geographical scope by notifying ASI three months in advance of the desired Effective Date of the Reduction of Scope. The consequences of a Reduction of Scope are the same to those of a Withdrawal (see section [23](#) below).

20.5 A CAB that has voluntarily reduced its Scope of Accreditation may re-apply to extend the scope again at any time, by following the process set out in section [19](#).

## 21. SANCTIONS

21.1 If a CAB fails to comply with the Accreditation Requirements or is/has been in breach of the terms of the ASI Service Agreement, ASI can impose Sanctions on the CAB. ASI further reserves the right to exercise any rights provided by the law or by the Service Agreement or any other agreement concluded with the CAB.

21.2 Sanctions are, in order of least to most severity:

21.2.1 Formal warning;

21.2.2 Intensification of surveillance of CAB activity (frequency or duration) at the expense of the CAB;

21.2.3 Suspension of Accreditation (see section [22](#) below);

21.2.4 Withdrawal of Accreditation (see section [23](#) below).

21.3 If a Sanction is imposed, the CAB is obliged to provide an analysis of the cause(s) that led to the Sanction, which may serve as a basis for addressing and eliminating the imposed Sanction. If the CAB fails to comply with this obligation, ASI shall impose another Sanction which shall be more severe than the last one (e.g. after a formal warning, an intensification of surveillance or a Suspension may be imposed).

21.4 The following table contains examples of situations leading to Sanctions and the minimal Sanctions which shall be imposed by ASI, as well as the typical progression of Sanctions. ASI may impose an initial Sanction less severe than the minimal Sanction listed in the table if warranted by the particular circumstances of the individual case. ASI may also impose an initial Sanction more severe than the minimal Sanction listed in the table if warranted by the particular circumstances of the individual case.

**Table 1: Examples of situations leading to Sanctions**

Situations leading to Sanctions	Minimal Sanction and typical progression
1) Lack of collaboration in providing information as defined in section <a href="#">25</a> of this procedure.	Formal warning → Intensification of surveillance → Suspension
2) Lack of collaboration with scheduling or undergoing ASI Assessments.	Formal warning → Intensification of surveillance → Suspension
3) Improper use of the certificate of Accreditation or of the ASI logo and Accreditation symbol ( <a href="#">ASI-POL-20-108</a> ).	Formal warning → Suspension
4) Non-payment of ASI fees as per section 24 of this procedure.	Formal warning → financial probation → Suspension due to non-payment of fees
5) Discrediting or damaging the reputation of ASI and/or its SOs (e.g. making or supporting incorrect public negative and/or incorrect criticizing statements about ASI and SO systems, processes and teams).	Suspension → Withdrawal
6) Recommendations from one Assessment (beyond NCs) or from the Accreditation or reaccreditation process based on evaluation of CAB performance and their compliance with Accreditation requirements. For example: a) An Assessment recommending Suspension. b) PM recommending Suspension in the Accreditation Report. c) The AC recommending Suspension within their review.	Intensification of surveillance → Suspension

7) Failure to submit RCA, Correction and planned Corrective Actions for NCs within the specified deadlines (ref. ASI-PRO-20-106).	Formal warning → Suspension
8) Failure to implement effective Corrections and/or Corrective Actions, thereby not allowing ASI to close a major NC within the specified deadlines (ref. ASI-PRO-20-106).	Formal warning → Suspension
9) Failure to comply with clause 18.3.1 of this procedure for the reaccreditation process (closed major NCs and approved RCA and planned C and CA for minor NCs)	Suspension
10) Serious breach of Accreditation Requirements. For example, but not limited to: a) Offering Certification Activity outside the Scope of Accreditation; b) Not ensuring clear impartiality of Certification Activities; c) Providing consultancy (paid or unpaid) during the certification process; d) Violation of restrictions imposed during a Suspension (e.g. issue new Certifications)	Suspension or Withdrawal
11) Performing Certification Activities/services in a region without satisfying the necessary legal requirements (e.g. local laws, permits, etc.)	Scope reduction, Suspension or Withdrawal
12) Negligent provision of false information or non-disclosure of information by a CAB relevant for an Accreditation Decision concerning said CAB.	Suspension → Withdrawal
13) Willful deceit of ASI by intentional submission of false and/or concealment of information needed for ASI to implement its Accreditation process.	Withdrawal
14) Evidence of fraudulent behavior, such as fraudulent Audits or Certification decisions.	Withdrawal
15) Breach of obligations in ASI Service Agreement	Formal warning → Suspension or Withdrawal
16) Failure to correct the conditions that led to Suspension within the deadlines established.	Withdrawal

## 22. SUSPENSION OF ACCREDITATION

22.1 Suspension places temporary restrictions on the services a CAB may provide within the Scope of Accreditation. Suspension can be for all or part of the Scope of Accreditation. The temporary restrictions shall be specified in the notice of Suspension from ASI.

22.1.1 The CAB shall continue to conduct surveillance Audits necessary to maintain existing Certifications;

22.1.2 The CAB may continue to conduct Audits required for initial and recertification, but shall not issue any new ASI accredited Certifications or scope extensions within the scope of the Suspension;

22.1.3 The CAB shall not enter into new agreements for Certification within the scope of the Suspension.

22.2 ASI shall continue to conduct surveillance Assessments for a CAB and its clients throughout the period of a CAB's Suspension.

22.3 Fees paid will not be refunded upon Suspension. Annual fees must be paid normally during the period of Suspension.

- 22.4 For Assessment-related Suspensions (triggered by conclusions from an Assessment), the CAB shall be informed about a possible Suspension upon receipt of the final Assessment Report at the latest.
- 22.5 For non-Assessment-related Suspensions (e.g. not responding to major NCs in time), the CAB shall be informed by receiving a formal notification specifying the intent to suspend and the beginning of the Suspension process.
- 22.6 For each Suspension decision (except for non-payment of fees - see section [24](#)), ASI shall prepare an Accreditation Report for the AC explaining the reasons leading to Suspension, a justification of the scope (technical and/or geographical) proposed for Suspension, the conditions for lifting the Suspension and any other relevant information considered material for the recommendation.
- 22.7 Before the Accreditation Report is sent to the AC, the CAB will have the opportunity to file EOF to the Accreditation Report within 10 calendar days as per section [9](#) above.
- 22.8 Within 10 calendar days of receipt of the report, the AC shall communicate its decision to ASI.
- 22.9 Within 5 calendar days of the decision of the AC, ASI shall notify the CAB of the Suspension in writing. The notice of Suspension shall include the Effective Date of Suspension, duration, reasons, scope and conditions or any additional actions and deadlines for conformance required by the CAB. ASI shall also inform the relevant SO at this time, noting that the decision is not yet public and is still subject to Appeal.
- 22.10 The CAB may appeal the Suspension decision in accordance with the ASI Appeals Procedure ([ASI-PRO-20-103](#)). The Suspension is not made public until the period allowed to Appeal has expired or the Appeals process is completed, and the Suspension confirmed.
- 22.11 ASI shall update the record of accredited CABs on its website and publish a news item and short summary of the grounds for Suspension. The CAB will be given an opportunity to review the wording of the news item.
- 22.12 A Suspension shall be effective for a maximum period of six months. The suspended CAB may require an extension of this period with a clear justification to ASI. The extension shall be approved by the OD if the justification is accepted.
- 22.13 Failure to satisfactorily address the causes that led to Suspension within the specified deadline is grounds for initiating Withdrawal of Accreditation.
- 22.14 Suspension shall be lifted after ASI has verified (e.g. via Assessment) that the conditions specified in the notice of Suspension have been adequately met.
- 22.15 For lifting Suspension, an Accreditation Report shall be prepared and submitted to the AC to issue a decision within 10 calendar days of receipt of the report. This report will not be shared with the CAB to file EOF.
- 22.16 Within 5 calendar days of the decision of the AC, ASI shall notify the CAB in writing. Once the Suspension has been lifted, ASI shall update the record of accredited CABs on its website and inform the SO.

## 23. WITHDRAWAL OF ACCREDITATION

- 23.1 A CAB shall be subject to Withdrawal of Accreditation based on the situations set in section [21](#).
- 23.2 ASI shall prepare an Accreditation Report for the AC explaining the reasons leading to Withdrawal and any other relevant information considered material for the recommendation.
- 23.3 Before the Accreditation Report is sent to the AC, the CAB will have the opportunity to file EOF to the Accreditation Report within 10 calendar days as per section [9](#) above.
- 23.4 Within 10 calendar days of receipt of the report, the AC shall communicate its decision to ASI.
- 23.5 Within 5 calendar days of the decision of the AC, ASI shall notify the CAB of the Withdrawal in writing. The notice of Withdrawal shall include the Effective Date of Withdrawal, a clear statement of the reasons for the decision and the final Accreditation Report. ASI shall also inform the relevant SO at this time, noting that the decision is not yet public and is still subject to Appeal.
- 23.6 The CAB may appeal the Withdrawal Decision in accordance with the ASI Appeals Procedure ([ASI-PRO-20-103](#)). The Withdrawal decision is not made public until the period allowed to Appeal has expired or the Appeals process is completed, and the Withdrawal confirmed.
- 23.7 ASI shall make public notice of the Withdrawal decision on its website.
- 23.8 Upon confirmation of Withdrawal of Accreditation or termination of the ASI service agreement, the CAB shall:
- 23.8.1 immediately cease all ASI Accredited Certification Activities.
  - 23.8.2 provide to ASI within 5 calendar days a list of all clients affected, including contact information for each client.
  - 23.8.3 inform within 15 calendar days all subcontractors, affiliates, partners and clients in writing of the Withdrawal of Accreditation and its related implications (e.g. requirement for client to return certificate, process of transfer to other CABs, etc.).
  - 23.8.4 provide evidence to ASI of having contacted all of the above within 5 calendar days of the contact.
  - 23.8.5 cease making reference to its accredited status and discontinue to use the ASI Logo and Symbol.
  - 23.8.6 return the Accreditation Certificate to ASI, if a printed copy was obtained.
  - 23.8.7 Unless there are SO requirements allowing a different period, CAB certificates existing at the time of Withdrawal may remain valid for a period of 90 days, subject to confirmation by ASI, to permit CHs to enter into an agreement with another accredited CAB. The ASI OD may grant an extension of this transition period.
- 23.9 A withdrawn Accreditation cannot be reinstated. If a CAB wishes to be accredited again, it must apply for initial Accreditation as per section [11](#).
- 23.10 For a period of 24 months from the date of the Withdrawal notification, ASI may choose not to accept applications from a CAB from which Accreditation has been withdrawn or from a new entity linked and/or substantially staffed with personnel associated with a CAB with a withdrawn Accreditation.



## 24. COST OF ACCREDITATION

- 24.1 Accredited and applicant CABs shall pay fees as shown in the current Fee schedule ([ASI-INF-20-124](#)).
- 24.2 Payment of any invoice is due within 30 days of the issue date. A monthly 1% interest charge will be included for each delayed month, backdating to the initial invoice date. This 1% interest will continue to accumulate until the invoice is paid in full.
- 24.3 If a payment has not been received within 10 days of the original due date a notification will be sent to the CAB informing them that they are on “financial probation”. A CAB on financial probation may not:
- 24.3.1 apply for or continue with Scope of Accreditation extension,
  - 24.3.2 continue with the Accreditation application process,
  - 24.3.3 receive an ASI certificate for initial Accreditation, or
  - 24.3.4 apply for additional ASI programs.

Note: While on financial probation, a CAB can continue to operate ASI-accredited programs.

### 24.4 Suspension due to non-payment of fees

- 24.4.1 ASI can directly suspend a CAB’s Accreditation without involvement of the AC if an invoice and the related interest accumulated remains unpaid for 120 calendar days after the invoice date (90 calendar days past the due date). For applicant CABs, this will result in the Suspension of the application process.
- 24.4.2 ASI will send the CAB written notice of the Suspension decision and information will be placed on the ASI website. ASI will also inform the relevant SO.
- 24.4.3 Suspension will be lifted promptly upon receipt of payment. For this type of decision, section [21](#) on Sanctions does not apply nor does the preparation of an Accreditation Report for the AC.

## 25. INFORMATION DISCLOSURE REQUIREMENTS

- 25.1 Copies of all materials and information relating to the CAB’s Certification Activity shall be made available to ASI upon request within the timelines specified in the request.
- 25.2 The CAB shall make all requested documentation available to ASI before an Assessment. This shall be done via the ASI CAB Portal, by giving remote access to the CAB’s Management System or by other mutually agreeable means, e.g. via Dropbox or via email.
- 25.3 Minimum documents required for each Assessment type and their delivery deadlines are listed below. Other documents may be requested on a case-by-case basis:
- 25.3.1 Office Assessments: no later than 30 days before the Assessment.
    - organogram,
    - list of approved Auditors and personnel involved in relevant programs if not available in ASI auditor registry,
    - Quality Manual, specific program operations procedure/ manual and specific program Auditor manual,
    - list of certificates issued if not available in ASI or SO databases.

- 25.3.2 Witness / Compliance Assessments: no later than 2 weeks before the Assessment
- Audit plan/agenda,
  - Audit report(s) from the previous Audit(s),
  - CAB procedures for planning and conducting Audits,
  - Complaint files relevant to the sampled Audit.
- 25.4 In the case of Witness Assessments, the CAB shall send confirmed and complete information on Audit date(s), Audit team and sites to be visited for the sample selected by ASI to witness no later than 30 days before the date of the Audit.
- 25.4.1 Upon request, the CAB shall send ASI the list of upcoming CAB Audits within the Scope of Accreditation for the forthcoming year.
- 25.5 The CAB shall keep all required information fields related to their AOs updated in the ASI CAB Portal. Relevant changes (i.e. new offices and changes of the type of activities offices carry out) shall be entered within 30 days from the date the information has changed. Other information (such as number of certificate holders each office manages) can be updated annually, before the annual HO Assessment.
- 25.6 The CAB shall inform ASI about changes that can have significant impact on how their organization fulfills the necessary requirements and other terms and conditions associated with Accreditation. Such information should be disclosed to ASI before the changes take place. Failure to notify ASI in a timely manner may result in Sanctions. Significant changes may include, but are not limited to:
- 25.6.1 changes in ownership (legal entity), name, email address, website address, visiting or mailing address, telephone number.
- 25.6.2 organizational changes or restructuring of key management personnel such as administrative (e.g. billing) or technical/program management.
- 25.7 ASI shall evaluate each case and decide whether an additional on-site Assessment is needed to evaluate Conformity with Accreditation Requirements or if the documentation submitted is sufficient.

## 26. REVISION OF ACCREDITATION REQUIREMENTS

- 26.1 ASI Accreditation Requirements
- 26.1.1 The CAB shall comply with the current Accreditation Requirements at all times, including new requirements or changes to them, within the deadlines stipulated by ASI.
- 26.1.2 ASI shall inform the CAB of any changes to its Accreditation Requirements and the Effective Date of the changes.
- 26.1.3 ASI shall conduct, at its discretion, public consultations on proposed major modifications to Accreditation Requirements to request comments by interested parties. Consultation periods for new or revised ASI procedures shall be 30 calendar days. In some cases, ASI may extend this deadline.
- 26.1.3.1 A review is considered major when it significantly affects the working routines of a CAB.
- 26.1.3.2 Minor changes shall not be preceded by a public consultation.



## 26.2 SO Accreditation Requirements

- 26.2.1 Additional Assessments to evaluate transition for new/revised standard are usually not required on top of the Regular Assessment program. Therefore, to minimize disruption and reduce additional cost, ASI will evaluate these during the CAB's following annual HO Assessment, unless agreed differently with the SO. ASI will usually be in a position to start assessing new/revised standards within three months from the publication date.
- 26.2.2 Depending on the transition period defined in the standard, ASI may give CABs the option to decide if: 1) they are directly assessed against the new/revised standard in the upcoming planned Regular ASI HO Assessment, or 2) to defer to the following scheduled HO Assessment. However, CABs shall be in conformance with the new /revised standard once it becomes effective.
- 26.2.3 All major NCs shall be closed before a revised Accreditation Certificate annex can be issued.
- 26.2.4 Once transition to the new/revised standard has been successfully evaluated and major NCs are closed, the certificate annex will be amended with a reference to the new/revised standards.

## 27. DISPUTES (APPEAL, COMPLAINTS AND INCIDENTS)

- 27.1 If the applicant or accredited CAB disagrees with ASI's findings or decisions at any point in the Accreditation process, they may submit an Appeal. See Appeals Procedure ([ASI-PRO-20-103](#)) for more details.
- 27.2 If any person or organization wishes to express dissatisfaction to ASI relating to its activities, or those of an accredited CAB or of a certificate holder, they may submit a Complaint. See Complaints Procedure ([ASI-PRO-20-104](#)) for more details.
- 27.3 Incidents concerning any reported activity, observation, Stakeholder comment or concern that threatens the reputation and/or integrity of the ASI Accreditation program and/or its associated Certification Schemes and that are not already considered under the relevant ASI procedures for complaints and Appeals, can be reported (also anonymously) to ASI through various channels. See ASI Incident Handling Procedure ([ASI-PRO-20-107](#)) for more details.

## 28. PUBLIC NOTICE AND INFORMATION

- 28.1 ASI maintains a list of applicant and accredited CABs on its website. This list includes information such as: CAB's name, address, Accreditation status, technical/geographical scope, date of initial Accreditation, certificate of Accreditation, records of Assessments and Assessment Reports and a history of Suspensions, as well as contact data as specified by the CAB (main contact name, address, email address, phone number and website).
- 28.2 ASI may publish Assessment Reports to the extent permitted by the ASI service agreement.

## 29. TRANSFER OF ACCREDITATION

29.1 If an accredited CAB (“transferor CAB”) wishes to transfer its Accreditation to another CAB (“transferee CAB”), the following shall apply:

29.1.1 If the transferee CAB is already accredited by ASI for the relevant geographic and technical scope, the CABs may arrange for a transfer of certificates in accordance with the relevant Certification Scheme and the CAB’s contracts with its clients. In such situations a transfer of Accreditation between the CABs may not be required. The CABs shall notify ASI of any significant transfer events under section [25](#), and if the transferor CAB reduces Scope or withdraws Accreditation, the provisions of sections [20](#) or [23](#) apply after the certificate transfer.

29.1.2 If the transferee CAB is not ASI accredited for the relevant Certification Scheme, the CAB shall apply for ASI Accreditation under section [11](#). If the transferee CAB is partially accredited (e.g. only wants to add a technical scope), they shall apply for a scope extension as per section [19](#), unless the situation below applies.

29.1.3 If the transferee CAB: a) is under common ownership and control as the transferor CAB, or b) has been a subcontractor of the transferor CAB and has managed a substantial part of the Certification Activities under the relevant Accreditation for the previous 18 months, ASI may apply a simplified Accreditation transfer process, which shall be communicated to the CAB in writing, on a case by case basis.

29.1.4 In the case of minor changes (e.g. change of CAB’s name) that do not involve transfer of Accreditation to another legal entity, it is at ASI’s discretion to note the changes on the basis of submitted documentation.

29.2 The transferee CAB shall be responsible for closing all open NCs from the transferor CAB.

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