

FOR CABS

User instructions for the ASC unannounced audit risk calculator

Copyright notice

© 2023 Stichting Aquaculture Stewardship Council Foundation. All audio, visual and textual content on this site (including all names, data, standards, images, trademarks and logos) are protected by trademarks, copyrights and other Intellectual Property rights owned by Stichting Aquaculture Stewardship Council Foundation or its subsidiaries, licensors, licensees, suppliers and accounts.

Postal address:

Aquaculture Stewardship Council
Daalseplein 101
3511 SX Utrecht
The Netherlands

Trade register number 34389683

Responsibility for these Requirements

The Aquaculture Stewardship Council (ASC) holds responsibility for this document.

Versions Issued:

Version No.	Date	Description of Amendment(s)
Beta 1.0	18 May 2023	First version shared with CABS

Effective Date: The Beta version 1.0 is effective from **30 May 2023**.

Background

The ASC CoC Module v1.1 (effective from 30 May 2023) sets out a requirement for additional unannounced audits for ASC CoC Certificate Holders:

11.3 Surveillance frequency, additional audits and non-conformities

11.3.2.6. In addition to 11.3.2, ASC CoC certificate holders shall be selected for unannounced audits on a risk basis as determined by the ASC unannounced audit risk calculator.

- (a) For CABs with less than 100 ASC CoC clients, one (1) additional high risk ASC CoC client shall be selected for an unannounced audit.
- (b) For CABs with 100 or more ASC CoC clients, two (2) additional high risk ASC CoC clients shall be selected for an unannounced audit.
- (c) For this requirement, it is not necessary for the audit to occur on-site.
- (d) For this requirement, unannounced audits are not additional to regular annual audits.
- (e) Product sampling for testing shall take place during unannounced audits if determined necessary by the CAB or ASC.

This calculator is designed to provide you with the necessary information to select high risk certificate holders in fulfilment of the ASC CoC requirements. [A copy of the calculator that is specific to each CAB will be emailed to the MSC/ASC CoC Program Manager by the ASC Supply Chain Assurance Team.](#) The version that you received is only applicable to your CAB and your certificate holders.

If you have any questions or concerns about the calculator or its use, please email the ASC at assurance@asc-aqua.org.

How do I use the calculator?

The ASC unannounced audit risk calculator requires **no manual input** from the user. Each certificate holder is assigned an overall **Audit Risk Level of High, Medium, or Low** by the calculator (see next section for how this is calculated).

These Risk Levels are presented in a table array of all certificate holders for which you are the current CAB, as recorded in the ASC certification database (Ecert) on 15 May 2023. The calculator assumes that all data entered on the database are correct and complete at the time the certification data was extracted.

The certificate holders are ordered by Risk Score and Risk Level, from highest to lowest. The table includes the ASC CoC certificate code, certificate holder name, country, and certificate status (Applicant, Valid and Not Valid) as recorded in the ASC certification database on 15 May 2023. The entries may be filtered using the filter function.

The ASC CoC Module requirement is to select the appropriate number of additional certificate holders from those that have been assigned a High Risk Level. If the calculator shows that a CAB has no High Risk certificate holders, they are not required to carry out additional unannounced audits under this requirement.

How does the calculator work?

To facilitate the selection of the certificate holders that should undergo the additional audits, the ASC has developed a risk-based approach for calculating a relative risk level for each ASC certificate holder. The calculator draws primarily on certificate holder data held in the ASC certification database (up to 15 May 2023).

The Audit Risk Level is determined at two stages:

Stage 1 considers **Critical Risk Factors** specific to the Certificate Holder that, if present, will automatically result in a High-Risk level. Currently, the Critical Risk Factors include suspension history, or any incidents raised against the certificate holder by the MSC and/or ASC.

Stage 2 considers several **Scored Risk Indicators** from which it calculates an **Aggregate Risk Score**. These include indicators specific to the certificate holder, including the frequency of certificate transfers, main activity in scope, and number and types of species in scope. Furthermore, it considers all certificate holder data to establish relative country-level risk of suspensions and incidents. Species risk (based on the species in scope) is further informed by internal ASC farm certification data (no. of species per standard, no. of sites, and production volume and no. products per species) and external data relating to substitution and mislabelling and fraud risks. Country risk is informed by data on World Governance Indicators (WGI) and the Corruption Perception Index (CPI). The Aggregate Risk Score can range between 5 and 20, with a threshold for Medium Risk Level set at a score of 8 and a threshold for High Risk at 11. These thresholds are informed by the frequency distribution of Risk Scores for all certificate holders.

Important

- **All certificate holder data and the assigned risk scores should be treated as confidential and only be used for its intended purposes and by the relevant CAB.**
- Should you detect an error in the assignment of a certificate holder to your account, please inform the ASC at assurance@asc-aqua.org.
- In some cases where a certificate holder may have been transferred to another CAB after the creation date of the calculator, there may be discrepancies between the calculator and the certification database.
- The ASC reserves the right to issue update versions of this calculator at any time, but at least on an annual basis.

- There may be changes to the way in which the calculator calculates risk scores in future editions.
- The release of any new versions will be communicated to CABs via established channels.
- For any questions or concerns about the calculator or its use, please email the ASC at assurance@asc-aqua.org.