

# FOR CABS

## User instructions for the ASC unannounced audit risk calculator V2.0

### Copyright notice

© 2026 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  
Maliebaan 50-B  
3581 CS 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 v1.0	18-May-23	First version shared with CABS
V1.1	07-Jun-24	Updated data sources up to 4 April 2024
V2.0	28-Jan-26	Updated data sources up to 22 Dec 2025. Modifications to risk categories, indicators, and calibration

**Effective Date:** Version 2.0 is effective from **29 January 2026**.

## Background

The ASC CoC Module v1.3 (released on 17 April 2024) 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. NOTE: It may not correctly reflect certificates recently transferred since the import date.

If you have any questions or concerns about the calculator or its use, please email the ASC at [assurance@asc-aqua.org](mailto: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/MSC certification database (SCAP) up to and including on 22 December 2025. The calculator assumes that all data entered on the database are correct and complete at the time the certification data were 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 (Certified, Suspended and Withdrawn) as recorded in SCAP on 22 December 2025. 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 current certificate holder data from the SCAP database (up to 22 December 2025), and for some indicators, historical certificate holder data from Ecert.

**The Audit Risk Level** is based on an aggregate score derived from 11 performance indicators placed in one of two types of risk, Internal and External. These are applicable at certificate holder and/or country level.

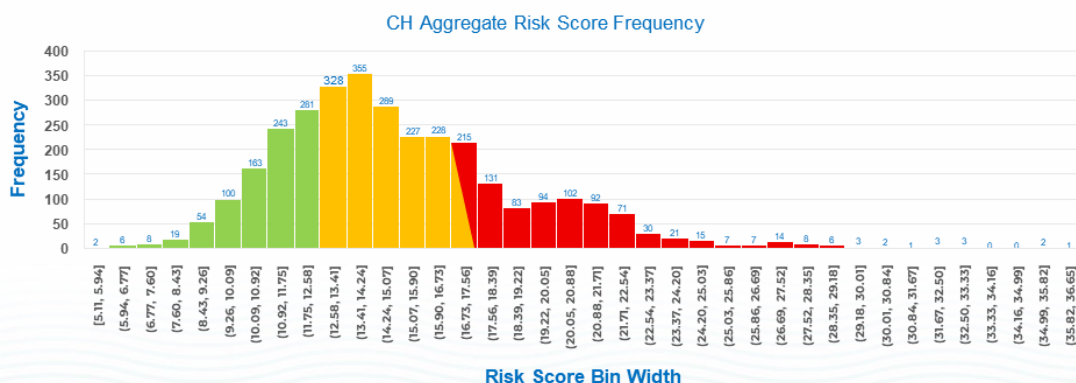
### Internal risk - made up of 10 indicators

- Individual certificate holder performance across 7 Indicators under 5 categories (activity and species scope, suspension and transfer histories, implicated in ASC incidents)
- Country (certificate holder group) performance across 3 indicators under 3 categories (suspensions, incidents, transfers)

### External risk - 1 composite indicator

- Based on 7 published country risk indices of legal and institutional operational environment risk: World Governance Indicators and Transparency International Corruption Perception Index (CPI).

The **Aggregate Risk Score** ranges between 5 and 36. The thresholds between Low / Medium, and Medium / High risk levels are set at the 40th and 75th percentiles respectively, based on the full frequency of distribution of Risk Scores for all ASC CoC certificate holders. This corresponds to an Aggregate Risk Score of 17.16 and above for the High Risk category.



## 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, or if you are not the rightful recipient of the calculator please inform ASC Programme Assurance at [assurance@asc-aqua.org](mailto: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.
- ASC reserves the right to issue updates to this calculator at any time.
- 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](mailto:assurance@asc-aqua.org).