ASSURING TRUST IN CERTIFICATION

ASI role in the Russian Integrity Project
12 April 2016, Moscow
Vladislav Kheinonen, ASI lead assessor
Dmitry Kutepov, ASI Russia country representative
ASI - Accreditation Services International

ASI assures the integrity of leading sustainability standards worldwide.

- Assurance Unit of the FSC since foundation 1993 – independent company since 2006
- Full member of ISEAL Alliance
- Services for 7 leading environmental and social standards
- Global team of 35 assessors - academic and practical background in aquatic and terrestrial natural resource management
- ~550 assessments per year (FSC 310; 45 countries)
- Advises standards on the design of assurance processes and provides feedback on the implementation “on the ground”
ASI assessments in 2015: almost 2/3 are for FSC
FSC CH portfolio triggers CAB audits and determines ASI oversight.

**World**

- **43 CBs** (16 FM) annually
- **1 328** (~3%)
- **29 211** (~0.5%)

**Russia**

- **14 CBs** (5 FM)
- **132** (4.5%)
- **356** (1.5%)
FSC assessments focused on specific countries

Risk-based sampling:
✓ new CAB auditor
✓ new country
✓ new activity
✓ complex audit
✓ 10-20% compliance audits
✓ stakeholder information/complaint
→ Reached out to STC/network for feedback
ASI workflow within the Russian Integrity Project.

- Media Screening
- FSC database
- Input from Stakeholders
- Satellite images
- Threats to FSC and/or ASI (incidents)

Initial review by risk criteria:
- Risk assessment
- ASI’s master-list of target certificates

ASI Assessments
- Monitoring

Witness
- Compliance
- Office
- Desk review
Critical area by phase of the Project

I 2013-2014
- Due tax payments
- Due fulfilment of silvicultural operations
- Management of Intact Forest Landscape (HCVF 2)
- Annual Allowable Cut level
- Management of Especially Protected Nature Areas (HCVF 1)
- Indigenous peoples and local communities
- CW from HCVF
- ...

II 2015-March 2016
### Findings raised by ASI by Critical area (FM, Russia, 01.01.2013 – 31.03.2016)

<table>
<thead>
<tr>
<th>Critical area</th>
<th>Major</th>
<th>Minor</th>
<th>Observ.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legality: Compliance with laws</td>
<td>1</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Legality: Due tax payments</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Local communities and people’s rights</td>
<td>1</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Indigenous people</td>
<td>2</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Annual Allowable Cut</td>
<td>4</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>HCVF (all types)</td>
<td>10</td>
<td>6</td>
<td>3</td>
</tr>
<tr>
<td>HCVF2 (Intact Forest Landscapes)</td>
<td>6</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td>Others</td>
<td>12</td>
<td>4</td>
<td>9</td>
</tr>
</tbody>
</table>
## Overview on ASI findings raised over time for FM in Russia

<table>
<thead>
<tr>
<th>Grade</th>
<th>Year</th>
<th>Total</th>
<th>Including findings related to certification requirements at the level of certificate holder</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2013</td>
<td>2014</td>
<td>2015</td>
</tr>
<tr>
<td>Major</td>
<td>6</td>
<td>5</td>
<td>6</td>
</tr>
<tr>
<td>Minor</td>
<td>9</td>
<td>10</td>
<td>6</td>
</tr>
<tr>
<td>Observ.</td>
<td>18</td>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>Total</td>
<td>33</td>
<td>22</td>
<td>20</td>
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</tbody>
</table>
### Numbers of certificates with Intact forest landscape (HCVF 2) in the scope

<table>
<thead>
<tr>
<th></th>
<th>Phase 1</th>
<th>Phase 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>High risk</strong></td>
<td>25</td>
<td>4*</td>
</tr>
<tr>
<td><strong>Medium risk</strong></td>
<td>9</td>
<td>0</td>
</tr>
<tr>
<td><strong>Low risk</strong></td>
<td>19</td>
<td>46</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>53</td>
<td>50</td>
</tr>
</tbody>
</table>

* Note: including 3 terminated and 1 suspended certificate by the end of Project Phase II
ASI risk assessments for sustainable level of forest use

<table>
<thead>
<tr>
<th>Risk level</th>
<th>Numbers of certificates</th>
</tr>
</thead>
<tbody>
<tr>
<td>High risk</td>
<td>33</td>
</tr>
<tr>
<td>Potential risk</td>
<td>47</td>
</tr>
<tr>
<td>No risk</td>
<td>51</td>
</tr>
<tr>
<td>Total</td>
<td>131</td>
</tr>
</tbody>
</table>
Thank you for your attention

ASI - Accreditation Services International GmbH

Friedrich-Ebert-Allee 69
53113 Bonn, Germany

www.accreditation-services.com

Phone: +49 (228) 227 237 0
Fax: +49 (228) 227 237 30
E-mail: asi-info@accreditation-services.com