

ASI Membership Information and Application Form

V1.4-2016

About ASI

ASI is a non-profit organisation which exists to administer an independent third-party certification program for the aluminium value chain. Incorporated in 2015 with a multi-stakeholder membership model, new members are welcome from anywhere in the world, from every part of the aluminium supply chain, and from civil society groups, associations, and other supporting organisations.

ASI's objects are:

- To define globally applicable standards for sustainability performance and material chain-of-custody for the aluminium value chain
- To promote measurable and continual improvements in the key environmental, social and governance dimensions of aluminium production, use and recycling
- To develop a credible assurance and certification system that both mitigates the risks of non conformity with ASI standards and minimises barriers to broad scale implementation of ASI standards
- To become and remain a globally valued organisation advancing programs for sustainability in the aluminium value chain, which is financially self-sustaining and inclusive of stakeholder interests.

Benefits of ASI Membership

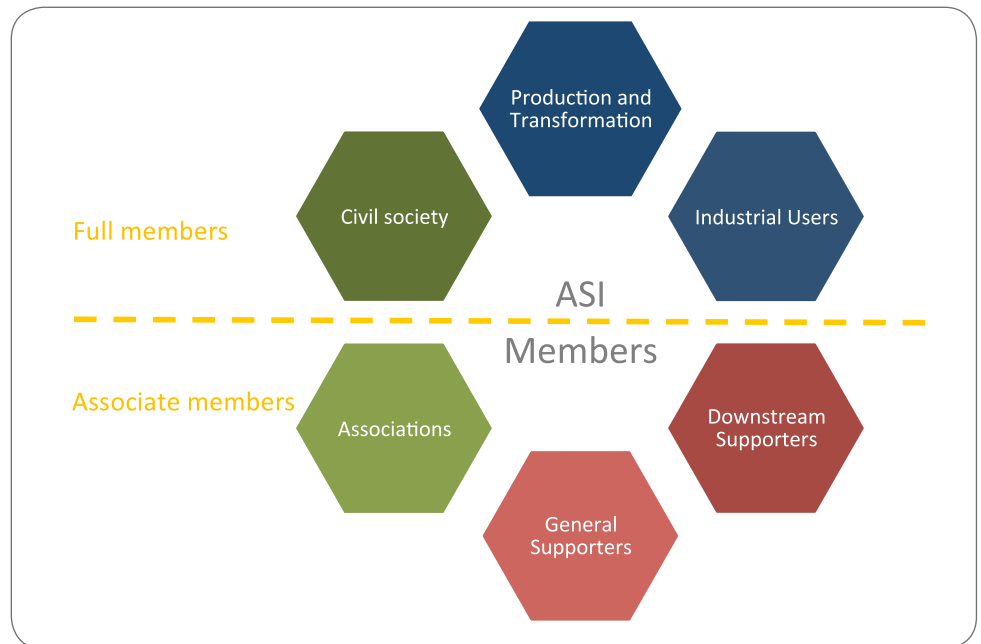
Members benefit through their association with ASI's multi-stakeholder work program and directly contribute to enhancing sustainability in the global aluminium sector.

Your membership can help:

- Build stakeholder consensus on what constitutes responsible practice and performance
- Incentivise attainment of social and environmental objectives
- Encourage independent assurance of systems and performance
- Create more impact on environmental and social issues collectively
- Bring transparency to supply chains and manage supply chain risks
- Enhance reputation through proactive efforts to implement and support standards
- Support compliance with relevant regulatory requirements
- Reduce duplication of effort and costs through standardisation
- Build partnerships and relationships across the public, private and voluntary sectors
- Share best practices and collect evidence that will resonate with your stakeholders.

ASI Membership Classes

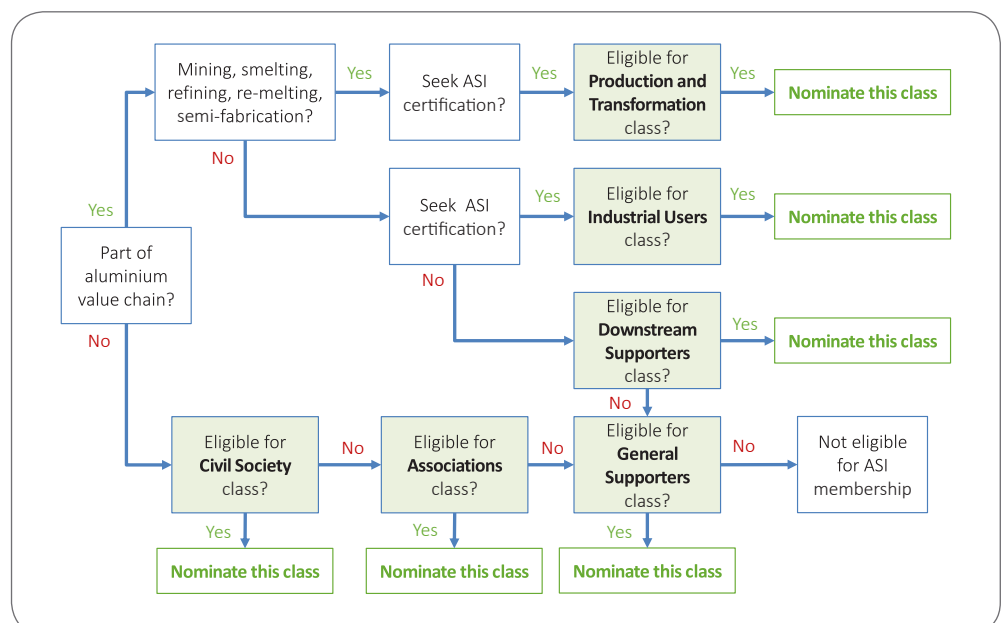
ASI has six membership classes as part of its multi-stakeholder governance structure:



Applicants for ASI membership must nominate the membership class most relevant to their activities. Note that ASI members must be a legal entity or group of legal entities. Special rules apply where a group of legal entities wish to jointly act as a member, and in essence they provide for one nominated member of that group to legally represent and be responsible for the group in relation to the group's membership of ASI, whilst still ensuring that each member of the group has appropriate commercial entitlements arising from membership. These special rules will be provided to applicants who are a group of legal entities.

Guide to nominating your membership class

The flowchart summarises the key decisions in your nomination of ASI membership class:



Sections A-E below provide further guidance on your nomination of membership class. Note that reference to 'aluminium' includes all aluminium alloys.



Your organisation produces, transforms or uses bauxite, alumina or aluminium and you will seek ASI certification for at least one facility or product line in the future

Eligibility:

- **'Production and Transformation' class:** Organisations with activities in one or more of: bauxite mining, alumina refining, aluminium smelting, aluminium re-melting or refining, semi-fabrication (rolling, extrusion or casting) and/or material conversion (being the further processing of semi-fabricated aluminium products into products or components that are sold to industrial users (as described below) for final assembly or filling and sale to end customers
 - » If your organisation carries out any bauxite mining, alumina refining, aluminium smelting, aluminium re-melting and refining, or semi-fabrication, you must nominate this membership class
 - » If your organisation carries out 'material conversion' (as described above) but is also eligible for the 'Industrial User' class below, you can nominate either of these two classes to join based on your desired level of ASI Certification (to help you with your nomination, see 'Benefits' below)
 - » If aluminium represents an important part of your material conversion activities, you are encouraged to join the Production and Transformation class.
- **'Industrial Users' class:** Organisations that manufacture consumer or commercial goods containing aluminium in the: aerospace, automotive, construction, consumer durables, engineering, IT, and similar sectors; and organisations in the beverage, food, pharmaceutical or other sectors that use aluminium in packaging for their products.
 - » If your organisation is eligible for the 'Industrial User' class but does not seek ASI Certification covering any of its facilities or product lines, you may nominate the 'Downstream Supporter' class below. Note that 'Industrial Users' are Full Members, while 'Downstream Supporters' are Associate Members.

Benefits:

- Involvement in the development and ongoing review, as well as implementation of, the ASI standards.
- Achieve the reputational benefits of certification. ASI Certification is expected to be available from mid-2017.
 - » Members in these classes must achieve certification against applicable requirements of the ASI Performance Standard for at least one facility or product line within two years of the launch of the ASI Certification system
 - » 'Production and Transformation' members must, within the applicable time, achieve certification against all applicable criteria in the ASI Performance Standard.
 - » 'Industrial Users' members must, within the applicable time, achieve certification against only the Material Stewardship criteria in the ASI Performance Standard.
- As a Full Member, be eligible to nominate a candidate for election to the ASI Board, the ASI Standards Committee and other ASI Committees.

If this matches your organisation's activities and interests, apply to join ASI as a Full Member in either the Production and Transformation or Industrial Users class, as applicable.

B Your organisation uses, trades or collects aluminium and you are interested in responsible sourcing and/or recycling, but you will not seek certification of any of your own facilities or product lines

Eligibility:

- **‘Downstream Supporter’ class:** Organisations that manufacture consumer or commercial goods containing aluminium in the: aerospace, automotive, construction, consumer durables, engineering, IT, and similar sectors; organisations in the beverage, food, pharmaceutical, retail and similar sectors that use aluminium in packaging for their products; and organisations that trade physical aluminium or collect aluminium for re-melting or recycling.

Benefits:

- Contribute to the ASI work program and support the broad uptake of ASI standards.
 - » Note that to be a Full Member and enjoy greater rights, you can join the ‘Industrial Users’ class, but if you do so, you must, within the applicable time, achieve ASI certification for at least on facility or product line.

If this matches your organisation’s activities and interests, apply to join ASI as an Associate Member in the Downstream Supporter class.

C Your organisation is a not-for-profit civil society organisation that supports the work of ASI to encourage and recognise responsible production, sourcing and stewardship of aluminium

Eligibility:

- **‘Civil Society’ class:** Not-for-profit organisations serving the interests of the public or a segment of the public, such as civil society groups, environmental and human rights NGOs, labour organisations, Indigenous Peoples and community-based organisations, and consumer organisations at international, regional, national or local level.

Benefits:

- Contribute to the ASI work program and encourage uptake of ASI standards through the aluminium value chain.
- As a Full Member, be eligible to nominate a candidate for election to the ASI Board, the ASI Standards Committee and other ASI Committees.

If this matches your organisation’s activities and interests, apply to join ASI as a Full Member in the Civil Society class.

D Your organisation is an industry or trade association that supports the work of ASI to encourage and recognise responsible production, sourcing and stewardship of aluminium

Eligibility:

- **‘Associations’ class:** Industry and other trade associations that represent commercial interests in any part of the aluminium value chain, such as aluminium associations, green building councils, and downstream sector associations.
 - » Note that ASI membership by an Association does not confer ASI membership on the association’s own members.

Benefits:

- Contribute to the ASI work program and connect it with your association’s broader constituencies.

If this matches your organisation’s activities and interests, apply to join ASI as an Associate Member in the Associations class.

E Your organisation supports the work of ASI to encourage and recognise responsible production, sourcing and stewardship of aluminium, but does not fall into any of the other membership classes

Eligibility:

- **‘General Supporter’ class:** Organisations that support ASI’s mission and objects not eligible under one of the other membership classes, such as: governments and regulators, international institutions, investment sector, parallel initiatives, academic and research institutions, specialist agencies, consultancies, media organisations, and related industries (for example, waste processing of bauxite residue, dross or spent pot-lining).
 - » This class excludes organisations seeking to carry out independent third party-audits: they may apply for accreditation by ASI through the ASI auditor accreditation process but cannot be members of ASI.

Benefits:

- Contribute to the ASI work program and support broader partnerships and uptake of ASI standards through the aluminium value chain.

If this matches your organisation’s activities and interests, apply to join ASI as an Associate Member in the General Supporter class.

Membership Commitments

By applying for ASI membership, your organisation commits, if admitted as a member, to:

General:

- Actively and constructively support ASI's objects
- Work to encourage and recognise responsible production, sourcing and stewardship of aluminium
- Policies and procedures:
 - Comply with the ASI Constitution and the ASI Governance Handbook
 - Comply with the ASI Anti-Trust Compliance Policy
 - Comply with the ASI Complaints Mechanism, including any disciplinary proceedings or applicable sanctions that may apply as a result
 - Comply with ASI By-Laws as to ASI-related claims, and the use of ASI logos and other intellectual property
- Pay membership fees on time

Certification:

- For 'Production and Transformation' and 'Industrial Users' members, achieve certification against the ASI Performance Standard for at least one facility or product line within two years of the launch of the ASI certification program (the launch is expected by the end of 2017).

Annual Membership Fees

A key principle of ASI is to be inclusive, encouraging organisations of all types and sizes to become members. A range of membership fees are applicable depending on the type, size and/or purpose of your organisation. Membership fees are set by the ASI Board and reviewed annually. The current fees are set out in the tables below.

For **organisations that are commercially active in the aluminium supply chain**, ASI annual membership fees are determined by annual turnover/revenue:

Membership Class	Large More than US\$1billion	Medium Between US\$100 million and US\$1 billion	Small Between US\$10 million and US\$100 million	Micro Less than US\$10 million
» Production and Transformation				
» Industrial Users	US\$25,000	US\$10,000	US\$1000	US\$200
» Downstream Supporters				

For **Civil Society organisations and Associations**, ASI annual membership fees are determined by size of the organisation in terms of number of full-time equivalent employees:

Membership Class	Large More than 1000 FTE staff	Medium Between 100-1000 FTE staff	Small Between 10-100 FTE staff	Micro Less than 10 FTE staff
» Civil Society	US\$5000	US\$1000	US\$500	US\$100
» Associations				

For **General Supporters**, ASI annual membership fees are determined by the purpose of the organisation:

Membership Class	Governmental and commercial organisations	Non-profit or academic
» General Supporters	US\$5000	US\$500

Australian Goods and Services Tax (GST) of 10% is applicable to membership fees for organisations headquartered in Australia.

Note: Civil Society, Associations and General Supporters members who at the time of application will have a representative serving on the ASI Standards Committee have their annual membership fee waived pro-rata during that period of service, in recognition of the significant in-kind contribution made through this participation.

Application Process

The Membership Application Form (sections 1, 2 and 3) should be completed and submitted, along with a copy of your organisation's logo in high-definition (preferably in .eps or .ai format), to info@aluminium-stewardship.org

We will contact you in writing to confirm receipt of your application. Please note it may be necessary for us to seek clarification of information provided in your application form. We will endeavour to process your application within 30 days of receipt. Despite an applicant's nomination of a membership class, if there is any inaccuracy, doubt or uncertainty over an applicant's entitlement to be a member in any particular membership class, the Board retains discretion to determine the appropriate class. An application for membership may also be rejected by the Board.

On acceptance of your application, we will issue you with a membership fee invoice based on your membership class and information provided. Membership fees are payable within 30 days of the date of your invoice.

On receipt of your membership fee, we will contact you in writing to confirm your ASI membership, provide you with ASI logo material and confirm your organisation's listing on the Member pages of the ASI website.

Your ASI membership year is for 12 months from the date of payment. Please note that membership fees are non-refundable, even in the case of resignation during a year. Membership renewal invoices will be sent at least 60 days before the end of your membership year.

Questions?

Contact: info@aluminium-stewardship.org

ASI Membership Application Form

You can complete this form electronically. An email link and submit button can be found on the last page. Alternatively, you can print, scan and email the completed form.

Section 1 - Member Contact Information

1	<p>Name of applicant for ASI membership (the name of the company, organisation or name of each entity in a group of legal entities).</p> <p><i>Note: This is the name that will appear on the ASI website. For example:</i></p> <p><i>Green Aluminium Enterprises</i></p> <p><i>Note: if a group of legal entities is applying, ASI may request further information in relation to one or more of those legal entities.</i></p>	
2	<p>If different from above, add the full name of the legal entity and country of incorporation. In the case of a group of entities that fall within the scope of the above applicant, but that are not all subsidiaries of the one entity, list all the relevant legal entities and their country of incorporation.</p> <p><i>For example:</i></p> <p><i>Green Aluminium Enterprises Ltd (UK)</i></p> <p><i>Green Aluminium Enterprises GmbH (Germany)</i></p>	
3	<p>Full address of applicant's head office, including country</p>	
4	<p>Telephone number of head office, including country code</p>	
5	<p>Applicant's website address</p>	
6	<p>VAT number for all EU and VAT-registered companies</p>	

7	<p>Primary contact to receive official (eg. a notice of General Meeting) and general (eg. a newsletter) ASI correspondence</p>	<p>Name:</p> <p>Position:</p> <p>Address:</p> <p>Work telephone:</p> <p>Mobile/cell:</p> <p>Email address:</p>
8	<p>Other contacts to receive general ASI correspondence</p> <p><i>Note: Please add here or attach a list. Individuals can also join the ASI mailing list at: http://aluminium-stewardship.org/mailling-list/</i></p>	<p>Name:</p> <p>Position:</p> <p>Address:</p> <p>Work telephone:</p> <p>Mobile/cell:</p> <p>Email address:</p>

Section 2 – Membership Class and Activities

9	<p>Nominated Membership Class</p> <p><i>Note: place an X in one box only</i></p>	<input type="checkbox"/> Production and Transformation (<i>Full member</i>) <input type="checkbox"/> Industrial Users (<i>Full member</i>) <input type="checkbox"/> Downstream Supporters (<i>Associate member</i>) <input type="checkbox"/> Civil Society (<i>Full member</i>) <input type="checkbox"/> Associations (<i>Associate member</i>) <input type="checkbox"/> General Supporters (<i>Associate member</i>)
10	<p>List all countries of operation for the applicant organisation</p>	
11	<p>Number of employees in applicant organisation</p>	
12	<p>Description of applicant organisation that can be used on the ASI website</p> <p><i>Note: if your organisation has a standard 'About Us' on its website or for press releases, this can be added here as text, a link, or included as an attachment. Alternatively, a description that identifies the applicant's specific interest in ASI and/or the aluminium value chain is also useful. A limit of 200 words applies and ASI may edit any text provided.</i></p>	

13	<p>For 'Production and Transformation', 'Industrial Users' and 'Downstream Supporters', indicate all activities the applicant organisation carries out in the aluminium value chain</p> <p><i>Note: place an X in all relevant boxes</i></p>	<input type="checkbox"/> Bauxite mining <input type="checkbox"/> Alumina refining <input type="checkbox"/> Aluminium smelting <input type="checkbox"/> Aluminium re-melting, refining or recycling <input type="checkbox"/> Semi-fabrication (rolling, extrusion, casting) <input type="checkbox"/> Product or component manufacturing (material conversion) in the following sector/s: <input type="checkbox"/> Aerospace <input type="checkbox"/> Automotive <input type="checkbox"/> Construction <input type="checkbox"/> Consumer durables <input type="checkbox"/> Engineering <input type="checkbox"/> IT <input type="checkbox"/> Packaging <input type="checkbox"/> Other (specify): <input type="checkbox"/> Retail <input type="checkbox"/> Trading of physical aluminium <input type="checkbox"/> Collection of post-use recyclable material
14	<p>For 'Production and Transformation', 'Industrial Users' and 'Downstream Supporters', indicate annual turnover/revenue of applicant organisation</p>	<input type="checkbox"/> More than US\$1 billion <input type="checkbox"/> Between US\$100 million and US\$1 billion <input type="checkbox"/> Between US\$10 million and US\$100 million <input type="checkbox"/> Less than US\$10 million
15	<p>For 'Civil Society' and 'Associations', indicate the number of full-time equivalent employees.</p>	<input type="checkbox"/> More than 1,000 <input type="checkbox"/> Between 100 and 1,000 <input type="checkbox"/> Between 10 and 100 <input type="checkbox"/> Less than 10
16	<p>For 'General Supporters', please indicate the type of organisation</p>	<input type="checkbox"/> Governmental or commercial <input type="checkbox"/> Non-profit or academic

Section 3 – Membership commitment and consent to become an ASI member

The applicant named and described above (or each legal entity forming part of an applicant group):

1. hereby applies to become a member of Aluminium Stewardship Initiative Ltd (ASI) in the membership class determined by ASI, taking into account the applicant's nomination;
2. agrees to be bound by the Constitution of ASI and agrees to support ASI's mission and help ASI achieve its objects;
3. represents that it is not currently engaged in any activity which would be likely to bring ASI into disrepute;
4. agrees that ASI membership and/or certification may be terminated, withdrawn or suspended
 - if it fails to comply with any undertakings given by it;
 - if its actions or omissions do, or threaten to, bring ASI into disrepute in any way; or
 - as a result of the outcomes of an ASI Complaints Mechanism process;
5. agrees to its name, date of joining, organisational logo and applicable Certification status (as relevant), being listed on the ASI website if accepted as a member;
6. agrees to pay the applicable annual membership fee in order to remain an ASI member;
7. agrees to comply with the Anti-Trust Compliance Policy adopted by ASI in our dealings with ASI and other ASI members;
8. agrees to comply with ASI's requirements relating to the use of ASI's logo and ASI-related claims; and
9. if admitted as a member, irrevocably grants a non-exclusive royalty free licence to ASI to use its logo on the ASI website and for other ASI-related purposes.

Check the box if applicable to your specified membership class:

- ☐ **Production and Transformation members:** We agree to seek certification against the ASI Performance Standard for at least one facility or product line within two years of the launch of the ASI certification system.
- ☐ **Industrial User members:** We agree to seek certification against the Material Stewardship criteria of the ASI Performance Standard for at least one facility or product line within two years of the launch of the ASI certification system.

Signed for and on behalf of the applicant organisation by:

Name:	
Position / Title:	
Organisation:	
Signature: (hover for instructions)	
Date:	

Please submit to info@aluminium-stewardship.org along with a high resolution file of your organisational logo or...

Thank you
for your
interest
in ASI
membership!



Aluminium Stewardship Initiative Ltd

(ACN 606 661 125)

www.aluminium-stewardship.org
info@aluminium-stewardship.org