  
**ASI Auditor Accreditation Form**

**Version 1, 8 June 2017**

This Form is used by Conformity Assessment Bodies (CAB’s) that wish to apply to become an ASI Accredited Auditor. The Form can also be used as part of the annual renewal and to change the scope of the ASI Accreditation. Please refer to the ASI Auditor Accreditation Procedure for instructions and details pertaining to ASI Auditor Accreditation.

You can complete this form electronically using Microsoft Word, or print and scan the completed form. Please remember to include all supporting documentary evidence (electronically or in paper form).

If you have any questions please contact [info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

**Section 1 – General Information**

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| --- | --- | --- | --- | --- |
| 1. **Name of Conformity Assessment Body** | *This is the name that will appear on the ASI website* |  | | |
| 1. **If different from above, add the full name of the legal entity and country of incorporation.** | *For example Certification Enterprises Ltd (UK).*  *Include evidence of company registration.* |  | | |
| 1. **Registered business details.** | Address |  | | |
| City |  | | |
| Province/State |  | | |
| Country |  | | |
| Telephone Number |  | | |
| Fax Number |  | | |
| Website |  | | |
| 1. **Postal Address** | *(If different to above)* |  | | |
| 1. **VAT Number** | *EU and VAT registered companies only* |  | | |
| 1. **Primary contact (for ASI correspondence)** | Name |  | | |
| Position |  | | |
| Telephone Number |  | | |
| Fax Number |  | | |
| Email |  | | |
| Skype |  | | |
| 1. **Locations and contacts details to appear on ASI Website** | **Details** | **Location 1** | **Location 2** | **Location 3** |
| Country/Region |  |  |  |
| Contact Person Name |  |  |  |
| Contact Person Phone |  |  |  |
| Contact Person Email |  |  |  |
| **Details** | **Location 4** | **Location 5** | **Location 6** |
| Country/Region |  |  |  |
| Contact Person Name |  |  |  |
| Contact Person Phone |  |  |  |
| Contact Person Email |  |  |  |
| *Please attach details if registering more than 6 locations.* | | | |

**Section 2 – Accreditation Scope**

Complete this section for the Conformity Assessment Body in accordance with the requirements outlined in the ASI Auditor Accreditation Procedure Schedule 2 ASI Accreditation Requirements for Conformity Assessment Bodies. Remember to provide relevant supporting documentary evidence.

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| 1. **Purpose** | *Select applicable options.*  *Notes:*  *If the purpose is a Scope change, please indicate if the change relates to the Conformity Assessment Body and/or Individual Auditors.*  *A Scope Change may occur during the Annual Renewal.* | Initial application – *please complete Sections 1, 2, 3, 4 & 5*  or  Annual Renewal – *please complete and sign Section 6*  and/or  Scope Change to:  Conformity Assessment Body – please *note changes in Section 1, 2 & 4 and sign Section 6)*  Individual Auditors – please *note changes in Section 3 and sign Section 6)* | | |
| 1. **Independent Accreditation** *(Select ASI Standard an all applicable accreditations)*   *Remember to provide Evidence of all accreditations including where relevant copies of the oversight assessment conducted by the CAB’s accreditation body/ies within the last 12 months.* | **ASI Standard** | **Accreditation to:** | **Accredited By:** | **For Schemes:** |
| ASI Performance Standard | ISO/IEC 17021 |  | ISO 9001  ISO 14001  OHSAS 18001  ISO 14065  ISO 37001  ISO 37101  Other: |
| Other: |  | SA 8000  Other: |
| ASI Chain of Custody Standard | ISO/IEC 17021 |  | ISO 9001  Other: |
| ISO/IEC 17065 |  | ISO 9001  Other: |
| Other: |  | RJC Chain of Custody  FSC Chain of Custody  MSC Chain of Custody  Bonsucro Chain of Custody  RSPO Chain of Custody  Other: |
| 1. **ASI Aluminium Supply Chain Sectors and Experience** | *Select sectors and provide a summary of the Conformity Assessment Body’s experience in this sector with supporting documentary evidence and references as applicable.*  *Please remember to include accreditation to relevant other supply chain initiatives such as RJC Accredited Auditors and BetterCoal Approved Assessors (see also item 14).* | Bauxite Mining - Experience includes: | | |
| Alumina Refining - Experience includes: | | |
| Aluminium Smelting - Experience includes: | | |
| Casthouses - Experience includes: | | |
| Semi-Fabrication - Experience includes: | | |
| Aluminium Re-melting / Refining - Experience includes: | | |
| Material Conversion - Experience includes: | | |
| Other Manufacturing or sale of products containing aluminium - Experience includes: | | |
| *Additional Experience for ASI Performance Standard*  *In the Social category, please whether the CAB is a Member of the Association of Professional Social Compliance Auditors (APSCA) or is a SEDEX registered Audit Company (see also Item 14).* | Governance - Experience includes: | | |
| Environmental - Experience includes: | | |
| Social - Experience includes: | | |
| 1. **Geographic Location** | *List the countries in which you have relevant experience and accreditation to conduct ASI Certification Audits* |  | | |
| 1. **Impartiality and Complaints** | *Statement identifying Members for which the Conformity Assessment Body has provided Consultancy relating to any aspects covered by the ASI Standards in any form within the last 3 years.* |  | | |
| Provide information about complaints from third parties received by the Conformity Assessment Body in the previous 12 months that may affect the integrity of the ASI Certification Audits. These include complaints the Conformity Assessment Body’s conduct or the conduct of Individual Auditors (see also item 20). Please include information about any corrective actions (noting the confidential nature of some of the contact details).  *For example please provide information for complaints relating the understanding of Aluminium supply chain activities (e.g. mining, smelting, etc.) and/or issues (labour rights, mine rehabilitation, greenhouse gases, etc.) typical of the aluminium supply chain.* |  | | |
| 1. **Number of auditors** | Employees |  | | |
| Contractors |  | | |
| 1. **General overview of services and activities** | *Provide a summary of the scope and nature of services and activities.*  *Please include accreditation services offered to other supply chain initiatives.* |  | | |

**Section 3 – List of individual Auditors**

Complete this section for each Individual Auditor in accordance with the requirements outlined in the *ASI Auditor Accreditation Procedure Schedule 3 Competency Requirements for Auditors Conducting ASI Audits.* Remember to provide relevant supporting documentary evidence.

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| --- | --- | --- | --- | --- | --- |
| 1. **Contact Details** | Name |  | | | |
| Contact Phone |  | | | |
| Contact Email |  | | | |
| Location |  | | | |
| Relationship to Conformity Assessment Body | Employee  Contractor - please provide name of employer: | | | |
| 1. **General Experience and qualifications** | Secondary education |  | | | |
| Confirm and provide supporting information and evidence that the Individual Auditor named above has 5 years total work experience, at least 2 years of the total five years’ work experience with governance, environmental, social and/or quality management systems. Please provide |  | | | |
| Fluency in English (written, spoken, comprehension) | Native speaker / fluent  Highly proficient / very good working knowledge  Basic communication skills / working knowledge | | | |
| Other Languages (*While fluency in other language is encouraged, ASI’s official language is English*) | Native speaker / fluent  Highly proficient / very good working knowledge  Basic communication skills / working knowledge | | Native speaker / fluent  Highly proficient / very good working knowledge  Basic communication skills / working knowledge | |
| 1. **Auditing Experience and qualifications** | Recognised formal auditor training. Please provide supporting information and evidence. |  | | | |
| Registered with IRCA (or demonstrate conformance with IRCA requirements or an equivalent registration). Please provide supporting information and evidence. |  | | | |
| Confirm and provide supporting information and evidence that the Individual Auditor named above has within the last 3 consecutive years, four complete audits for a total of at least 20 days of audit experience under the direction and guidance of a Lead Auditor (Audit Team leader). |  | | | |
| 1. **Lead Auditor** | Is the Individual Auditor able and competent to act as a Lead Auditor? | Yes – *go to question 19*  No – *go to question 20* | | | |
| 1. **Lead Auditor Experience** | Lead auditor training (internal or external). Please provide supporting information and evidence. |  | | | |
| Confirm and provide supporting information and evidence that the Individual Auditor named above has at least three complete audits for a minimum total of 15 days of audit experience acting in the role of a Lead Auditor (audit team leader). The audits should be completed within the last 2 consecutive years. |  | | | |
| Confirm and provide supporting information and evidence that the Lead Auditor has undergone an independent witness audit in the last 2 consecutive years (by the Conformity Assessment Body and/or the Conformity Assessment Body’s Accreditation Body/ies) and successfully addressed any identified issues. |  | | | |
| 1. **Impartiality and Complaints** | Statement identifying Members for which the Individual Auditor has provided Consultancy relating to the ASI Standards in any form within the last 3 years. |  | | | |
| Statement identifying the Individual Auditor’s professional membership and/or affiliations with external organisations that may present a conflict or potential for bias, as it relates to the criteria in the ASI Standards. |  | | | |
| Provide information about complaints raised about the Individual Auditor in the last 12 months as it relates to activities or issues in the aluminium supply chain that may affect the integrity of the ASI Certification Audits. (See also item 12) |  | | | |
| 1. **Sector and Discipline Knowledge**   *Remember to provide supporting documentary evidence including industry sector codes defined in the United Nations International Standard Industrial Classification of All Economic Activities (ISIC) or the equivalent document for your location.* | **ASI Standard** | **Sector** | **Mandatory Required Discipline** | | **Location (Country / region)** |
| ASI Performance Standard | All sectors | Anti-Corruption laws and regulations and their governing agencies  Please add relevant supporting information: | |  |
| Environmental protection laws and regulations and their governing agencies  Please add relevant supporting information: | |  |
| Social laws and regulations and their governing agencies  Please add relevant supporting information: | |  |
| Bauxite Mining | Mine Rehabilitation  Biodiversity management  Indigenous Peoples Rights including Free Prior and Informed Consent  Please add relevant supporting information: | |  |
| Alumina Refining | Bauxite residue management  Indigenous Peoples Rights including Free Prior and Informed Consent  Please add relevant supporting information: | |  |
| Aluminium Smelting | Greenhouse gases  Spent pot line management  Indigenous Peoples Rights including Free Prior and Informed Consent  Please add relevant supporting information: | |  |
| Casthouses | Greenhouse gases  Dross management  Please add relevant supporting information: | |  |
| Semi-Fabrication | Material stewardship and Recycling  Please add relevant supporting information: | |  |
| Material Conversion |  |
| Other Manufacturing or sale of products containing aluminium |  |
| Aluminium Re-melting / Refining | Material stewardship and Recycling  Greenhouse gases  Dross management  Please add relevant supporting information: | |  |
| ASI Chain of Custody Standard | All sectors | Anti-Corruption laws and regulations and their governing agencies  Please add relevant supporting information: | |  |
| Social laws and regulations and their governing agencies  Please add relevant supporting information: | |  |
| Product laws and regulations and their governing agencies  Please add relevant supporting information: | |  |
| Material accounting systems (quality control and assurance)  Please add relevant supporting information: | |  |
| Bauxite Mining | No Mandatory Discipline Knowledge at this time  Please add relevant supporting information: | |  |
| Alumina Refining | No Mandatory Discipline Knowledge at this time  Please add relevant supporting information: | |  |
| Aluminium Smelting | Greenhouse gases  Please add relevant supporting information: | |  |
| Casthouses |  |
| Semi-Fabrication |  |
| Aluminium Re-melting / Refining |  |
| Material Conversion |  |
| Other Manufacturing or sale of products containing aluminium |  |

**Section 4 – ASI Certification Audit Quality Control**

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| 1. **ASI Accredited Auditor Certification Audit Quality Manual and Procedures** | Provide reference and copies of relevant quality manuals and/or procedures developed to undertake ASI Certification Audits with documented evidence (where applicable) indicating:   * Effectiveness of controls to manage impartiality * Individual Auditor (employee and contractor) competency assessments * Individual Auditor training records (external, internal and/or on the job training) * Effectiveness of controls to manage confidentiality * List of complaints received relating to ASI Certification Audits and the response and follow-up actions * Effectiveness that operational controls and processes are effective to maintain audit quality, integrity and calibration * Evidence that the Conformity Assessment Body’s management system for the ASI Certification Audit is effective. Evidence may include results of internal audits and management reviews. |  |

**Section 5 – Conformity Assessment Body commitment and consent to become an ASI Accredited Auditor**

*Note:*

* *Complete Section 5 for New Applications (Section 6 must be used for Renewals and Changes).*

The applicant named and described in Section 1 2, 3, and 4 (or each legal entity forming part of an applicant group):

1. hereby applies to become an ASI Accredited Auditor of Aluminium Stewardship Initiative Ltd (ASI) based on the information indicated in this Form
2. agrees that the information on the Form and supplementary documentation is correct
3. agrees to be bound by the requirements and conditions relating to being an ASI Accredited Auditor as outlined in the ASI Auditor Accreditation Procedure
4. agrees to be bound by the requirements and conditions relating to conduct of ASI Certification Audits as outlined in the ASI Assurance Manual
5. represents that it is not currently engaged in any activity which would be likely to bring ASI into disrepute;
6. agrees that ASI Auditor Accreditation may be terminated, withdrawn or suspended:
   1. if it fails to comply with any undertakings given by it;
   2. if its actions or omissions do, or threaten to, bring ASI into disrepute in any way; or
   3. as a result of the outcomes of an ASI Complaints Mechanism process
7. agrees to its name, organisational logo and applicable contact details (as relevant), being listed on the ASI website if approved as an ASI Accredited Auditor
8. agrees to pay the applicable fees in accordance with fees and charges in the ASI Auditor Accreditation Procedure Schedule 1 Fees and Charges
9. agrees to comply with the Anti-Trust Compliance Policy adopted by ASI in our dealings with ASI and other ASI members
10. agrees to comply with ASI’s requirements relating to the use of ASI’s logo and ASI-related claims, and
11. if approved as an ASI Accredited Auditor, irrevocably grants a non-exclusive royalty free licence to ASI to use its logo on the ASI website and for other ASI-related purposes.

**Signed for and on behalf of the applicant Conformity Assessment Body by:**

|  |  |
| --- | --- |
| 1. **Name** |  |
| 1. **Position / Title** |  |
| 1. **Conformity Assessment Body** |  |
| 1. **Signature** |  |
| 1. **Date** |  |

Please submit to [accreditation@aluminium-stewardship.org](mailto:accreditation@aluminium-stewardship.org) along with a high resolution file of your organisational logo and other supporting documentary evidence.

**Section 6 –ASI Accredited Auditor Annual Renewal or Update**

*Note:*

* *Complete Section 6 for Renewals and Changes (Section 6 must be used for New Applications).*
* *The non-relevant section can be deleted from your application.*

|  |  |
| --- | --- |
| 1. **Name of ASI Accredited Auditor** |  |

The ASI Accredited Auditor named above (or each legal entity forming part of an applicant group):

1. hereby applies to renew/change its status as an ASI Accredited Auditor of Aluminium Stewardship Initiative Ltd (ASI) based on the existing information published on the ASI Website about the ASI Accredited Auditor and any changes indicated in the Form
2. agrees that the all information about the ASI Accredited Auditor provided to date to ASI including supplementary documentation is correct
3. agrees to be bound by the requirements and conditions relating to being an ASI Accredited Auditor as outlined in the ASI Auditor Accreditation Procedure
4. agrees to be bound by the requirements and conditions relating to conduct of ASI Certification Audits as outlined in the ASI Assurance Manual
5. represents that it is not currently engaged in any activity which would be likely to bring ASI into disrepute;
6. agrees that ASI Auditor Accreditation may be terminated, withdrawn or suspended:
7. if it fails to comply with any undertakings given by it;
8. if its actions or omissions do, or threaten to, bring ASI into disrepute in any way; or
9. as a result of the outcomes of an ASI Complaints Mechanism process
10. agrees to its name, organisational logo and applicable contact details (as relevant), being listed on the ASI website if approved as an ASI Accredited Auditor
11. agrees to pay the applicable fees in accordance with fees and charges in the ASI Auditor Accreditation Procedure Schedule 1 Fees and Charges
12. agrees to comply with the Anti-Trust Compliance Policy adopted by ASI in our dealings with ASI and other ASI members
13. agrees to comply with ASI’s requirements relating to the use of ASI’s logo and ASI-related claims, and
14. continues to irrevocably grant a non-exclusive royalty free licence to ASI to use its logo on the ASI website and for other ASI-related purposes.

**Signed for and on behalf of the ASI Accredited Auditor by:**

|  |  |
| --- | --- |
| 1. **Name** |  |
| 1. **Position / Title** |  |
| 1. **Conformity Assessment Body** |  |
| 1. **Signature** |  |
| 1. **Date** |  |

Please submit to [accreditation@aluminium-stewardship.org](mailto:accreditation@aluminium-stewardship.org) along with a high resolution file of your organisational logo (if changed from the one already supplied) and any other supporting documentary evidence.