

ASI Auditor Accreditation Procedure

Version 1 – 8 June 2017

1. PURPOSE

This procedure describes the process and requirements for the accreditation of Conformity Assessment Bodies (CABs) and their Individual Auditors which once accredited by ASI, are known as ASI Accredited Auditors. CABs and their Individual Auditors must be accredited by ASI as qualified and competent before they can carry out ASI Certification Audits of ASI Members to ASI Standards.

The accreditation process is designed and operated to conform to the [ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards](#) (the Assurance Code), and delivers on core principles of:

- Consistency: to ensure replicable results
- Rigour: the 'intensity' of the assurance process that best enhances accurate results
- Competence: of individuals carrying out assurance, to interpret and apply intent of the standards
- Impartiality: to ensure fair and objective treatment of organisations seeking certification
- Transparency: to provide for stakeholder scrutiny and build confidence
- Accessibility: affordable, culturally sensitive, comprehensible and within reach of target clients.

ASI's accreditation process is a form of 'proxy accreditation' under the ISEAL Assurance Code, and is also aligned with the general intent of ISO/IEC 17011:2006 Conformity assessment – General Requirements for Accreditation bodies accrediting conformity assessment bodies.

2. SCOPE AND APPLICATION

This procedure applies to Conformity Assessment Bodies (CABs) and their Individual Auditors under their control that wish to achieve ASI Accreditation. ASI Accreditation enables CABs and their auditors to carry out ASI Certification Audits in accordance with the ASI Assurance Manual.

For CABs and their Individual Auditors to be eligible for ASI Accreditation, they must:

- Be impartial, independent third parties to ASI and its Members
- Not be involved in ASI standards setting or decision making processes (other than interested parties submitting comments during public consultation periods)
- Not be involved in ASI's or ASI Members' governance processes
- Fulfil the nominated and relevant requirements of ISO/IEC 17021 for management system certification schemes, ISO/IEC 17065 for product certification systems or a technical equivalent standard for independent certification auditing recognised in this Procedure, or as approved by ASI on a case by case basis.
- Fulfil the relevant requirements of ISO 19011:2011 as it relates to the skills and experience of the CAB's auditors.

Specific CAB and Individual Auditors competency requirements are specified in section 5 of this procedure.

3. DEFINITIONS

| Term | Definition |
|---------------------------------------|--|
| ASI Accreditation | Recognition by ASI of a CAB's competence to carry out audits and evaluate conformance against an ASI Standard. |
| Alumina Refining | The process of extracting alumina from bauxite ore, generally by the Bayer process. |
| Aluminium | Aluminium is a chemical element with symbol Al and atomic number 13. It is a silvery-white, soft, nonmagnetic, ductile metal. Aluminium is the third most abundant element, and the most abundant metal in the Earth's crust. It can be pure or alloyed with other metals (Mg, Si, Mn, Cu, Zn, Fe, Cr and others). In ASI documents, the raw materials used to produce the metal (bauxite ore and alumina) as well as Aluminium alloys may be referred to as Aluminium in its generic meaning. ASI covers metallic Aluminium and not other forms of chemical compounds that may contain aluminium. |
| Aluminium Re-melting/Refining | Processes for recycling aluminium process scrap and used Aluminium products, which may include processes to improve the quality of secondary aluminium by removing unwanted elements or impurities. |
| Aluminium Smelting | The process of extracting aluminium from its oxide, alumina, generally by the Hall-Héroult process. |
| Aluminium Supply Chain Sectors | Specific stages in the aluminium supply chain that ASI Accredited Auditors are able to carry out ASI Certification Audits, consisting of: <ul style="list-style-type: none"> • Bauxite Mining • Alumina Refining • Aluminium Smelting • Casthouses (for the production of Casthouse Products) • Semi-Fabrication • Aluminium Re-melting / Refining • Material Conversion • Other Manufacturing or sale of products containing aluminium |
| ASI Accreditation Scope | The ASI Accreditation Scope defines the extent to which the ASI Accredited Auditor is permitted to conduct ASI Certification Audits, characterised by: <ul style="list-style-type: none"> • ASI Standards (ASI Performance Standard and/or ASI Chain of Custody Standard) • Geographic Scope (list of countries) • Aluminium Supply Chain Sectors (e.g. Bauxite mining, alumina refining, etc.) • List of Individual Auditors with defined: <ul style="list-style-type: none"> ○ Geographic Scope ○ Aluminium Supply Chain Sectors ○ Discipline Knowledge in specific fields pertaining to the aluminium supply chain ○ Lead Auditor status |
| ASI Accredited Auditor | A Conformity Assessment Body and its Individual Auditors (employee and contractors) accredited by ASI to conduct ASI Certification Audits. |
| ASI Standards | ASI Performance Standard and ASI Chain of Custody Standard. |
| Audit | Assessment carried out by an independent third party ASI Accredited Auditor for the purposes of confirming conformance of an ASI Member with |

| Term | Definition |
|--|---|
| | the ASI Standard/s. Audit types include Certification Audits, Surveillance Audits and Re-Certification Audits. |
| Audit Report | Report on the Audit generated by the Auditor and submitted to the Member and to ASI via the ASI Assurance Platform. |
| Audit Team | One or more Individual Auditors conducting an ASI Certification Audit, supported if needed by Technical Experts. |
| Bauxite Mining | Extraction of Bauxite from the earth for commercial purposes. |
| Board | ASI Board as defined in the ASI Constitution |
| Casthouse (and Cast House Products) | Casthouse: Where molten aluminium in furnaces, usually sourced as Liquid Metal, Cold Metal and/or other alloying metals, is cast into specific Casthouse Products to meet customer specifications or supplied to a customer as Liquid Metal. Casthouse Products are defined in the ASI Chain of Custody Standard as Aluminium or its alloys in forms that include ingots, slabs, bars, billets, wire rod or other speciality products and which have a physical stamp or marking on or with the product that identifies the producing Casthouse and a unique identification number. |
| Certification | An attestation issued by ASI, based on the results of a Certification Audit by an ASI Accredited Auditor, that the required level of Conformance has been achieved against the applicable ASI Standard and for the documented Certification Scope. |
| Certification Audit | A Certification Audit comprises the following: <ul style="list-style-type: none"> • A preliminary desktop review of a Member’s Self Assessment and other related information; • Development of an Audit Plan to identify the relevant Facilities and Business Activities to visit and assess; • Verification of conformance through implementing the Audit Plan; • Preparation of an Audit Report for the Member and ASI. |
| Certification Scope | The Certification Scope is defined by the Member and sets out what parts of a business, Facilities and/or Business Activities are covered by an ASI Certification. There are three possible approaches to Certification Scope: <ul style="list-style-type: none"> • Business Level: covers a whole Member company, a subsidiary of a Member or a business unit of a Member. • Facility Level: covers a single Facility or group of Facilities which are a subset of a Member’s total operations. • Program Level: covers a single identifiable Program or group of Programs. |
| Conformity Assessment Body (CAB) | Independent third party organisations accredited to carry out Certification Audits. |
| Consultancy | Participation in designing, implementing, operating or maintaining management systems, products or services as they relate to the Members Certification Scope. |
| Discipline Knowledge | Expertise, skills and understanding in a nominated field or subject. |
| Geographic Scope | List of countries in which the ASI Accredited Auditor is accredited to conduct ASI Certification Audits. |
| Individual Auditor | Auditors attributed to a CAB (as employees or contractors) accredited to conduct ASI Certification Audits with defined: |

| Term | Definition |
|---|---|
| | <ul style="list-style-type: none"> • Geographic Scope • Aluminium Supply Chain Sectors • Discipline Knowledge in specific fields pertaining to the aluminium supply chain • Lead Auditor status. |
| IRCA | International Register of Certificated Auditors |
| Lead Auditor | A Lead Auditor is responsible for the efficient and effective conduct and completion of an Audit and may co-ordinate a team of Auditors. |
| Material Conversion | Further processing (for example cutting, stamping, bending, joining, forging, product casting, packaging production etc.) of Casthouse Products or semi-fabricated aluminium products, into products or components that are used in or sold for final assembly or filling and sale to end consumers. |
| Member | <p>An entity or group of entities that is a current member of one of ASI's six membership classes:</p> <ul style="list-style-type: none"> • Production and Transformation (eligible for ASI Certification) • Industrial Users (eligible for ASI Certification) • Civil Society • Downstream Supporters • Associations • General Supporters |
| Other Manufacturing or sale of products containing Aluminium | The manufacture and/or sale of 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 and similar sectors that use aluminium in packaging for their products. |
| Oversight (ASI Oversight) | <p>Assessment of a CAB's and its auditors demonstration of competence to carry out certification audits.</p> <p>Note: <i>ASI Oversight</i> is the assessment of ASI Accredited Auditors demonstration of competence to carry out ASI Certification Audits by meeting the relevant mandatory requirements specified in <i>Schedule 2 ASI Accreditation Requirements for Conformity Assessment Bodies</i> and <i>Schedule 3 Competency Requirements for Auditors Conducting ASI Audits</i>, as it applies to the awarded ASI Accreditation Scope.</p> |
| Registered Specialist | <p>A person registered by ASI as being a Technical Expert that supports the Aluminium Supply Chain Sector(s) and/or requirements in the ASI Standards. Registered Specialists may be used by Members and Auditors.</p> <p>Note: a Registered Specialist offering Consultancy to a Member as it relates to the Members Self Assessment or in the development of a Member's systems to conform to requirements in the ASI Standard, cannot be part of that Member's Audit team, as this represents a conflict of interest. See also Technical Expert.</p> |
| Semi-Fabrication | Rolling or extrusion of Casthouse Products, as an intermediate processing stage for subsequent Material Conversion and/or further downstream processing and manufacturing of finished products. Examples of semi-fabricated products include sheet, foil, and can stock; extruded rod, bar, |

| Term | Definition |
|----------------------------|--|
| | shapes, pipe and tube; and other mill products such as drawing stock, wire, powder and paste. |
| Standards Committee | ASI Standards Committee as defined in the ASI Constitution |
| Technical Expert | <p>A person who provides specific knowledge or expertise to the Audit Team or a Member.</p> <p>Note that</p> <ul style="list-style-type: none"> • Specific knowledge or expertise is that which relates to the Entity or the Entity’s Certification Scope being audited • A Technical Expert cannot act as an auditor on the Auditor on the Audit Team • A Registered Specialist is a Technical Expert that has been accredited by ASI (see Registered Specialist). |

4. REFERENCES

- ASI Performance Standard
- ASI Chain of Custody Standard
- ASI Assurance Manual
- ASI Auditor Accreditation Form
- ASI Complaints Mechanism
- ASI Claims Guide
- ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards
- ISO/IEC 17011:2006. Conformity assessment – General Requirements for accreditation bodies accrediting conformity assessment bodies.
- ISO/IEC 17021:2015. Conformity assessment – Requirements for bodies providing audit and certification of management systems.
- ISO/IEC 17065:2012 Conformity assessment -- Requirements for bodies certifying products, processes and services
- ISO 19011: 2011. Guidelines for auditing management systems.
- ISO/IEC Guide 2 Standardization and related activities -- General vocabulary

5. PROCEDURE

There are five main stages applied to the ASI Accreditation processes illustrated in Figure 1:



Figure 1 ASI Accreditation Process

5.1. Application

1. A CAB that wishes to apply for ASI Accreditation must complete the ASI Auditor Accreditation Form (the ‘Form’) available from the ASI Website.

2. All relevant fields in the Form must be completed and supported with the minimum required documentary evidence as per Table 1. *Documentation including supporting evidence should be provided electronically wherever possible.*

Table 1 ASI Accreditation Application Form Overview

| Part | General Description of Requirements | Minimum Documentary Evidence |
|--|---|---|
| 1 CAB general information | <p>Organisation’s information including:</p> <ul style="list-style-type: none"> • registration and contact details • description of services • location of offices. | <ul style="list-style-type: none"> • Organisation’s registration details • Promotional material (optional) • Contact details and addresses of office locations • Web addresses. |
| 2 Accreditation Scope | <p>Nature of Accreditation Scope being applied for including:</p> <ul style="list-style-type: none"> • Application type: initial accreditation, renewal, change to accreditation scope • ASI Standard: ASI Performance Standard and/or ASI Chain of Custody Standard • Aluminium Supply Chain Sectors: Sector(s) for which the CAB is seeking accreditation • Geographic Scope: Location where audit services can be offered (based on ISO 17021 or ISO/IEC 17065 accreditation scope and auditor experience) • Other information to support scope of accreditation. | <p>See <i>Schedule 2 ASI Accreditation Requirements for Conformity Assessment Bodies</i></p> |
| 3 List of Individual Auditor(s) | <p>For each auditor employed by the CAB, information about:</p> <ul style="list-style-type: none"> • Qualifications and experience for each supply chain sector and geographic location in CAB accreditation scope • Lead auditor capability. | <p>See <i>Schedule 3 Competency Requirements for Auditors Conducting ASI Audits.</i></p> |
| 4 CAB’s ASI Program Description | <p>A description with detailed procedures explaining how the CAB will conduct ASI Certification audits in accordance with the ASI Assurance Manual and the relevant aspects of</p> | <ul style="list-style-type: none"> • Operating audit manual and procedures dedicated to planning, managing and reviewing ASI Certification Audits |

| Part | General Description of Requirements | Minimum Documentary Evidence |
|--------------------------------------|---|---|
| | ISO17021 or ISO17065 including: <ul style="list-style-type: none"> • Planning and establishing the audit scope • Establishing the audit team • Preparing • Conducting the audits • Evaluation of findings including assessment of conformance and identification of non-conformances • Reporting findings to the Member and the ASI Secretariat • Competence, training (whether formal, internal and/or on-the-job) and professional skills development of auditors (as it relates to the ASI supply chain) • Quality assurance program for integrity of ASI Certification Audits • Processes with defined responsibilities for communication with Members and the ASI Secretariat • Manage review of the ASI Certification Audits (as per ISO17021 and/or ISO17065 requirements) | |
| 5 CAB and Auditor Declaration | Signed declaration of eligibility, independence and impartiality for ASI Accreditation. | <ul style="list-style-type: none"> • Signature from CAB representative |
| 6 Annual Renewal Confirmation | Signed declaration confirming continued eligibility, independence and impartiality for ASI Accreditation. | <ul style="list-style-type: none"> • Signature from CAB representative |

3. The Form can be used to submit information for the initial ASI Accreditation, annual renewal of ASI Accreditation to confirm the CAB’s ASI Accreditation Scope and to notify ASI of any changes to the ASI Accreditation Scope.
4. Completed Forms must be submitted to:
 - Electronically (preferred) via email to accreditation@aluminium-stewardship.org
 Or

- By mail: Aluminium Stewardship Initiative, PO Box 4061, Balwyn East, Australia 3103
5. ASI will acknowledge receipt of the Form, invoice the CAB for any associated fees (see *Schedule 1 Fees and Charges*) and confirm when payment has been received.
 6. Unless otherwise noted on the Form, information submitted by CABs in respect of ASI Accreditation will be kept confidential in accordance with the ASI Privacy Policy and will be used solely for the purposes of assessing the applicant's application for ASI Accreditation.
 - *Note that once ASI Accreditation is awarded, the information noted in step 12, below, will be published on the ASI website.*

5.2. Assessment and Review

7. ASI will review the application including supporting documentation for completeness. Where gaps are identified or clarification required, these will be communicated for follow-up by the applicant CAB before the assessment can continue. This step will typically be conducted within 14 days of receiving the application.
8. ASI will issue an invoice to the applicant CAB for the fee noted in *Schedule 1 Fees and Charges*. Fees will apply to the initial application, renewal and any changes to the accreditation scope.
9. Once all required information has been received and the appropriate fee has been paid, the application and supporting information will be critically reviewed against the mandatory requirements specified in *Schedule 2 ASI Accreditation Requirements for Conformity Assessment Bodies* and *Schedule 3 Competency Requirements for Auditors Conducting ASI Audits*. This process would normally take place over a 1 month period.
10. Further clarification and/or information may be requested of the applicant based on the outcomes of the critical review. Review of the additional requested information, documentation will be processed as soon as practicable.

5.3. Accreditation Decision

11. Upon completion of the assessment and review of the application, the ASI Secretariat will make a decision regarding ASI Accreditation of the applicant CAB and its auditors and notify the applicant CAB of its decision.
12. If the applicant CAB is successfully awarded ASI Accreditation, the following information relating to the ASI Accreditation Scope will be posted on the ASI website:
 - CAB Company Name
 - Name and contact details of person nominated by CAB as having responsibility for coordinating ASI Audits. There may be more than one person nominated, for example if there are multiple countries or regions included in the ASI Accreditation Scope.
 - ASI Standard(s) that can be audited
 - Geographic Scope
 - Aluminium Supply Chain Sectors
13. ASI Accredited Auditors are permitted to communicate to their clients, stakeholders and on promotional or marketing forums consistent with the awarded ASI Accreditation Scope.
14. The ASI Accredited Auditor status will continue subject to:
 - oversight findings (see section 5.4)
 - annual confirmation (see section 5.5)
 - review and approval of scope changes (see section 5.5)

- outcomes of an ASI Complaints Mechanism process.

5.4. Oversight

- All ASI Accredited Auditors will be required to undergo mandatory initial training and periodic refresher training offered by ASI that covers an overview of (but not limited to):
 - ASI Standards
 - ASI Assurance Model
 - Risks and sector specific issues for the relevant aluminium supply chain.
- ASI Certification Audit Reports (as per the ASI Assurance Manual) will be reviewed to:
 - Confirm that the ASI Accredited Auditor's scope is compatible with the Entity's Certification Scope
 - Confirm that the Audit process and findings are consistent with the instructions to Auditors outlined in the ASI Assurance Manual.
- ASI Accredited Auditors may be subject to impromptu witness audits and reviews by independent peers assigned by the ASI Secretariat in accordance with ASI's oversight procedures. Oversight activities triggered by an investigation associated with incidents or complaints may incur fees in accordance with *Schedule 1 Fees and Charges*.
- It is expected that the CAB's oversight processes include conducting and correcting any discrepancies discovered by the CAB's accreditation body/ies to support the CAB's ISO/IEC 17021, and/or ISO/IEC 17065 and/or other technical equivalent standard (e.g. SA 8000) accreditation for conducting certification audits.
- ASI Accreditation may be suspended or revoked if the actions by the ASI Accredited Auditor:
 - Materially affect the integrity of the ASI Assurance Model detailed in the ASI Assurance Manual
 - Show there is proven misconduct, particularly where this contravenes the basic principles identified in ISO 19011 regarding:
 - Integrity and ethical conduct
 - Fair presentation
 - Due professional care
 - Confidentiality
 - Independence
 - Evidence based approach to audits.
- Applicants and ASI Accredited Auditors have access to the ASI Complaints Mechanism and associated appeal processes.

5.5. Accreditation Scope Annual Renewal and Scope Changes

- Each year (on the anniversary of when the ASI accreditation was awarded), the ASI Accredited Auditor is required to renew its ASI Auditor Accreditation by:
 - Confirming that the CAB and its auditors continue to meet the relevant mandatory requirements specified in *Schedule 2 ASI Accreditation Requirements for Conformity Assessment Bodies* and *Schedule 3 Competency Requirements for Auditors Conducting ASI Audits*, as it applies to the awarded ASI Accreditation Scope.

- Providing documentary evidence that it is implementing the processes outlined in the ASI Accredited Auditor Certification Audit Quality Manual and Procedures as required in *Schedule 2 ASI Accreditation Requirements for Conformity Assessment Bodies*.
 - Providing copies of the reports of the oversight assessment conducted by the CAB’s accreditation body/ies during the previous 12 months, to support the CAB’s ISO/IEC 17021, and/or ISO/IEC 17065 and/or other technical equivalent standard (e.g. SA 8000) accreditation for conducting certification audits. Corrective actions including evidence of effective closure of actions and subsequent follow-up, of during the oversight assessment conducted by the accreditation body/ies, must also be provided.
22. ASI will notify the ASI Accredited Auditor of the need to renew their ASI accreditation and pay the annual fee in accordance with *Schedule 1 Fees and Charges* within 2 months of the expiration date.
 23. At any time, ASI Accredited CABs must inform the ASI Secretariat of any changes to their organisation that may affect their Accreditation Scope, capacity and competence to conduct independent ASI Audits. Changes may include (but are not limited to) changes relating to:
 - Company details, including legal status, name, location, contact details, etc.
 - Capacity to audit specific ASI Standards
 - Countries where audits can be conducted
 - Accreditation to ISO/IEC 17021, ISO/IEC 17065, or other approved technical equivalent (and relevant to ASI Accreditation Scope)
 - Corrective action and subsequent follow-up for deficiencies identified during oversight assessment conducted by the CAB’s accreditation body/ies
 - Addition or removal of Individual Auditors (employees and contractors)
 - Competency requirements of Individual Auditors
 24. The ASI Auditor Accreditation Form must be used to document and seek approval for any changes to the ASI Auditor Accreditation Scope.
 25. Changes to ASI Auditor Accreditation Scope will be reviewed in accordance with the steps outlined in section 5.2 Assessment and Review and 5.3 Accreditation Decision of this procedure.

6. RECORDS

Records of applications and supporting information will be securely maintained by the ASI Secretariat for 5 years after the expiration of the accreditation status.

7. DOCUMENT CONTROL

| | |
|------------------|-----------------------------|
| Document Name | ASI Accreditation Procedure |
| Document ID | ASI-PRO-2 |
| Revision | Version 1 |
| Publication Date | 8 June 2017 |
| Approved By | ASI Board |
| Next Review Date | 3 years or as required |

Please refer to the ASI Website for the latest version of this procedure.

Schedule 1 Fees and Charges

The following fees apply to all applications to cover processing and ongoing administration costs associated with ASI Accreditation and related assurance processes:

| Purpose | Amount (USD) | Notes |
|--|--------------|---|
| Initial Application | USD 500 | Payable before application is critically assessed and reviewed. |
| Annual Renewal | USD 200 | Payable on the anniversary of being approved as an ASI Accredited Auditor. |
| Scope changes | No Charge | Changes to an ASI Accredited Auditor's scope will not incur a fee. |
| Training | No charge | ASI specified and delivered training will not incur a fee. |
| ASI Oversight activities including witness audits or an investigation associated with incidents or complaints of CAB and/or its Individual Auditors (if required) | At cost | External expenses will be charged at cost including use of Technical Experts or other auditors (if required). This does not include labour costs for ASI Secretariat personnel. |

Please note that all amounts do not include statutory charges and taxes, where applicable. Fees shall be reviewed annually. ASI reserves the right to adjust fees as it deems appropriate and reasonable.

Schedule 2 ASI Accreditation Requirements for Conformity Assessment Bodies

| ASI Accreditation Scope Criteria | | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) |
|----------------------------------|--------------------------|--|---|
| ASI Standard | ASI Performance Standard | <ul style="list-style-type: none"> ISO/IEC 17021 accreditation for management system certification schemes or an equivalent technical certification standard for management systems.¹ Accreditation to cover at <i>least two</i> of the following management standards: <ul style="list-style-type: none"> ISO 14001:2004 (until the end of 2018) or ISO 14001:2015 Environmental Management Systems: Requirements and guidance for use OHSAS 18001:2007 Occupational Health and Safety System Requirements ISO 9001:2015 Quality Management Systems <p>Optional (but encouraged):</p> <ul style="list-style-type: none"> Accreditation (as required by Social Accountability Accreditation Services) to conduct SA 8000:2014 Social Accountability certification audits Accredited by a national accreditation body to ISO/IEC 17021 for certification of management standards of <ul style="list-style-type: none"> ISO/IEC 37001:2016 Anti bribery management systems ISO/IEC 14065:2006 Greenhouse Gases ISO/IEC 37101:2016 Sustainable development in communities -- | <ul style="list-style-type: none"> Current accreditation to ISO/IEC 17021 or a technical equivalent accreditation recognised by the International Accreditation Forum (IAF) for certification of the following management standards, as relevant: <ul style="list-style-type: none"> ISO 14001:2004 (until the end of 2018) or ISO 14001:2015 Environmental Management Systems: Requirements and guidance for use OHSAS 18001:2007 Occupational Health and Safety System Requirements ISO 9001:2015 Quality Management Systems ISO 37001:2016 Anti-bribery management systems – Requirements with guidance for use ISO/IEC 14065:2006 Greenhouse Gases ISO/IEC 37101:2016 Sustainable development in communities -- Management system for sustainable development -- Requirements with guidance for use Accreditation to conduct certification audits to SA 8000: (where relevant) |

Note that the application must include verifiable

¹ The CAB's Accreditation must be demonstrated through independent assessment by an organisation registered with European Co-operative for Accreditation (EA) or the International Accreditation forum (IAF) or some other equivalent independent review. It cannot be demonstrated through a self-assessment, first party or second party audit.

| ASI Accreditation Scope Criteria | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) |
|---|---|---|
| | <p>Management system for sustainable development -- Requirements with guidance for use</p> <p><i>Note that a CAB that has accreditation to conduct ISO 9001:2015 Quality Management Systems certification audits is automatically eligible to include the ASI Chain of Custody in the ASI Accreditation scope.</i></p> | <p><i>copies of:</i></p> <ul style="list-style-type: none"> <i>current Accreditation Certificates or links to the relevant Accreditation Body web page where the CAB's accreditation details are clearly listed</i> <i>Recent copies of the reports of the oversight assessment conducted by the CAB's accreditation body/ies within the last 12 months to support the CAB's ISO/IEC 17021, and/or ISO/IEC 17065.</i> |
| <p>ASI Chain of Custody Standard</p> | <p>A CAB that is accredited to conduct ISO 9001:2015 Quality Management Systems certification audits is automatically eligible to include the ASI Chain of Custody in the ASI Accreditation scope, as follows:</p> <ul style="list-style-type: none"> ISO/IEC 17021 accreditation for management system certification schemes or an equivalent technical certification standard for management systems.² Accreditation to cover at least the following management standard: <ul style="list-style-type: none"> ISO 9001:2015 Quality Management Systems <p>and/or</p> <ul style="list-style-type: none"> ISO/IEC 17065 accreditation for product certification schemes (which includes processes and services) or an equivalent technical | <p>Current accreditation to ISO/IEC 17021 or ISO/IEC 17065 or a technical equivalent accreditation recognised by the International Accreditation Forum (IAF) for certification of management system standards.</p> <p><i>Note that the application must include verifiable copies of:</i></p> <ul style="list-style-type: none"> <i>current Accreditation Certificates or links to the relevant Accreditation Body web page where the CAB's accreditation details are clearly listed</i> <i>Recent copies of the reports of the oversight assessment conducted by the CAB's accreditation body/ies within the last 12</i> |

| ASI Accreditation Scope Criteria | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) |
|--|--|--|
| | <p>certification standard for product certification management systems.² Accreditation to cover at least the following management standard:</p> <ul style="list-style-type: none"> ○ ISO 9001:2015 Quality Management Systems <p>Optional (but encouraged):</p> <ul style="list-style-type: none"> ● Accreditation to conduct other chain of custody certification audits such as: <ul style="list-style-type: none"> ○ Responsible Jewellery Council Chain of Custody ○ Forest Stewardship Council Chain of Custody ○ Marine Stewardship Council Chain of Custody ○ Roundtable for Responsible Soy Chain of Custody ○ Bonsucro Chain of Custody ○ Roundtable for Sustainable Palm Oil Chain of Custody | <p><i>months to support the CAB's ISO/IEC 17021, and/or ISO/IEC 17065.</i></p> |
| <p>Aluminium Supply Chain Sectors All</p> | <p>Capacity, experience and competence to service the Aluminium Supply Chain Sectors nominated by the CAB for inclusion in the ASI Accreditation Scope.</p> <p><i>For example, if a CAB wants to be considered to be able to conduct Certification Audits at Bauxite Mines, then the CAB must provide evidence of its capability to audit bauxite mining and/or other similar mining experience.</i></p> | <p>Examples of audits and services offered in the relevant Aluminium Supply Chain Sectors for which ASI Accreditation is being sought. Evidence may include:</p> <ul style="list-style-type: none"> ● Documented industry codes applicable for the CAB's ISO/IEC 17021 or ISO/IEC 17065 or a technical equivalent accreditation recognised by the International Accreditation Forum (IAF) or SA 8000 accreditation. ● Audit logs |

² The CAB's Accreditation must be demonstrated through independent assessment by an organisation registered with European Co-operative for Accreditation (EA) or the International Accreditation forum (IAF) or some other equivalent independent review. It cannot be demonstrated through a self-assessment, first party or second party audit.

| ASI Accreditation Scope Criteria | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) |
|---|---|--|
| <p>ASI Performance Standard Only</p> | <p><u>Optional (but encouraged):</u> The CAB is also accredited to other supply chain initiatives such as:</p> <ul style="list-style-type: none"> • RJC Accredited Auditors • BetterCoal Approved Assessor <hr/> <p>Capacity, experience and competence in <i>each</i> of the three Sustainability areas built into the structure of the ASI Performance Standard, namely:</p> <ul style="list-style-type: none"> • Governance • Environmental • Social <p><i>Note that it is not expected or necessary that each Auditor in the Audit Team has the same competencies, experience and skill set. However, collectively, the overall competence, experience and skill set of the Audit Team needs to be sufficient to achieve the audit objectives. For example, the CAB may demonstrate capacity, experience and competence by including information about its <u>Individual auditors</u>, or its team of Individual Auditors <u>collectively</u>, or access to other <u>internal and/or external</u> Technical Experts (such as ASI Registered Specialists) that can cover the Sustainability areas in the ASI Performance Standard.</i></p> <p><u>Optional (but encouraged):</u> The CAB is:</p> <ul style="list-style-type: none"> • Member of Association of Professional Social Compliance Auditors (APSCA) • Registered SEDEX Audit Company. | <ul style="list-style-type: none"> • Testimonials from Audited organisations • CAB’s website and promotional material <hr/> <ul style="list-style-type: none"> • In addition to the above evidence, evidence associated with Individual Audits as specified in <i>Schedule 3 Competency Requirements for Auditors Conducting ASI Audits</i>. (E.g. CV’s, audit logs, etc.) by each of the Sustainability areas. <p>For example the CAB may be able to nominate a few auditors with sufficient experience to cover all three, and/or demonstrate that it has access to a larger pool of auditors each with their own strengths in one of the Sustainability areas that can work as a team to cover all parts of the ASI Performance Standard.</p> <ul style="list-style-type: none"> • If relevant, evidence of <ul style="list-style-type: none"> ○ APSCA membership ○ SEDEX Audit Company registration |
| <p>Geographic Scope <i>(countries where the CAB can conduct</i></p> | <p>List the countries where the CAB is able to conduct ASI Certification Audits based on:</p> | <ul style="list-style-type: none"> • Verifiable copies of current Accreditation Certificates (or links to relevant Accreditation |

| ASI Accreditation Scope Criteria | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) |
|--|--|---|
| <p>Certification Audits)</p> | <ul style="list-style-type: none"> the countries included in the CAB’s ISO 17021, ISO/IEC 17065 (or technical equivalent) accreditation scope <p>and</p> <ul style="list-style-type: none"> the countries in which the CAB has auditors with relevant experience for that country (as per <i>Schedule 3 Competency Requirements for Auditors Conducting ASI Audits</i>). <p><i>For example, if a CAB holds ISO 17021 accreditation in countries A, B and C but only has auditors with relevant aluminium supply chain experience in countries A & B, then only countries A&B are eligible for ASI Accreditation. The CAB may expand its ASI Accreditation Geographic Scope to include country C when it has individual auditors with relevant aluminium supply chain experience in Country C.</i></p> | <p>Body web page) for ISO/IEC 17021 or ISO/IEC 17065, or a technical equivalent accreditation recognised by the International Accreditation Forum (IAF), or SA 8000 accreditation, indicating in which countries the CAB is able to conduct the corresponding certification audits.</p> <p>And</p> <ul style="list-style-type: none"> Evidence that Individual Auditors have in-country experience and local knowledge as required under <i>Schedule 3 Competency Requirements for Auditors Conducting ASI Audits</i>. (e.g. CV’s, audit logs, etc.). |
| <p>Impartiality</p> | <ul style="list-style-type: none"> Statement identifying Members for which the CAB has provided Consultancy relating to any aspects covered by the ASI Standards <u>in any form</u> within the last 3 years. <p><i>Note that where identified, the CAB must address how impartiality is managed in accordance with ISO/IEC 17021:2011 Requirement 5.3 Management of impartiality. This may be included in the CAB’s ASI Accredited Auditor Certification Audit Quality Manual and Procedures (see next criteria below).</i></p> | <ul style="list-style-type: none"> Statement on the CAB letterhead confirming which ASI Members, and the nature of consulting work, if any, provided to ASI Member. Documented manual and/or procedures explaining how impartiality is managed. |
| <p>ASI Accredited Auditor Certification Audit Quality Manual and Procedures</p> | <p>The CAB is required to implement documented processes (in a quality manual and/or set of</p> | <ul style="list-style-type: none"> Documented manual and procedures (electronic form preferred). |

| ASI Accreditation Scope Criteria | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) |
|----------------------------------|--|--|
| | <p>procedures) that describe how the following requirements (as a minimum) taken directly from ISO/IEC 17021:2011 are managed in relation to the conduct of ASI Certification Audits as outlined in the ASI Assurance Manual:</p> <ul style="list-style-type: none"> • 4.2 Impartiality and 5.2 Management of Impartiality • 4.3 Competence including how the ASI Accredited Auditor Identifies plans and conducts training to maintain the competence, knowledge and skill set of its individual auditors (training may include external, internal and/or on the job training) • 4.6 Confidentiality and 8.4 Confidentiality • 4.7 Responsiveness to complaints • 6.2 Operational Control • 7 Resource Requirements including calibration and quality of audits conducted by different auditors whether they are employees or contractors to the CAB • 9 Process • 10 Management system requirements for certification bodies (Option A or Option B) <p><i>Note this must reference the relevant sections in the ASI Assurance Manual and describe how the CAB implements these requirements and carries out regular reviews for effectiveness.</i></p> | <ul style="list-style-type: none"> • Evidence of implementation of the documented processes described in the ASI Accredited Auditor Certification Audit Quality Manual and Procedures. Evidence may include: <ul style="list-style-type: none"> ○ Effectiveness of controls to manage impartiality ○ Auditor (employee and contractor) competency assessments ○ 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 CAB’s management system for the ASI certification audit is effective. Evidence may include results of internal audits and management reviews. |

Please note that the above requirements will be periodically reviewed by ASI.

Schedule 3 Competency Requirements for Auditors Conducting ASI Audits

| Individual Auditor Competency | | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) | |
|-------------------------------|-----------------------|---|---|--|
| All Auditors ³ | Qualifications | <ul style="list-style-type: none"> • Secondary education⁴ • Recognised formal auditor training⁵ • Registered with IRCA (or demonstrate conformance with IRCA requirements or an equivalent registration) • Fluent in English (written, spoken, comprehension) – while fluency in other language is encouraged, ASI’s official language is English | <ul style="list-style-type: none"> • IRCA Registration (or equivalent) • Qualifications, competency and training evidence (e.g. training certificates, qualification statements, licences, etc.) • Resume/CV on the CAB letterhead • Professional audit log endorsed by the CAB • Examples of documents written by the Individual Auditor in English that can be understood by the intended audience. Examples may include audit reports and presentations or other writing samples noting the sensitivity and confidentiality of the content. | |
| | Experience | General Work | <ul style="list-style-type: none"> • 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 | <ul style="list-style-type: none"> • Qualifications, competency and training evidence (e.g. training certificates, qualification statements, licences, etc.) • Resume/CV on the CAB letterhead • Professional audit log endorsed by the CAB |
| | | Auditing | <ul style="list-style-type: none"> • Within the last 3 consecutive years, four complete audits for a | |

³ Auditors must be employees or sub-contractors of the CAB.

⁴ Secondary education is that part of the national educational system that comes after primary or elementary stage, but that is completed prior to entrance to a university or similar educational institution.

⁵ Recognised auditor training must be competency based and delivered by a registered and qualified training organisation for auditor training.

| Individual Auditor Competency | Mandatory Requirement (unless otherwise noted) | | Evidence (minimum) |
|---|---|--|---|
| | <p>total of at least 20 days⁶ of audit experience under the direction and guidance of a Lead Auditor (Audit Team leader).</p> | | |
| <p>Impartiality</p> | <ul style="list-style-type: none"> Statement identifying Members for which the Individual Auditor has provided Consultancy relating to the ASI Standards <u>in any form</u> within the last 3 years. <p><i>Note that where identified, Individual Auditors will be prohibited from participating in audits of those Members for a period of 3 years since the Consultancy was provided.</i></p> <ul style="list-style-type: none"> Statement identifying the 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. | | <ul style="list-style-type: none"> Statement on the CAB letterhead confirming which ASI Members, and the nature of consulting work, if any, provided to ASI Member. Statement identifying the Auditor’s professional memberships, affiliations and associations as it relates to the criteria in the ASI Standards. |
| <p>Discipline Knowledge – ASI Performance Standard</p> | <p>Sector</p> <p>All sectors</p> | <p>Discipline</p> <p>For the jurisdiction covering the Entity’s activities and products, knowledge of laws and regulations and their governing agencies covering:</p> <ul style="list-style-type: none"> Anti-corruption | <p>For each of the sectors and disciplines noted that relates to the ASI Performance Standard, clear reference to competencies, experience and skill sets to documents such as:</p> <ul style="list-style-type: none"> Qualifications, competency and training evidence (e.g. training certificates, qualification statements, licences, etc.) |

⁶ Audit days only applies to time on site. It excludes preparation (for example planning) and post audit follow-up activities (for example reporting).

| Individual Auditor Competency | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) |
|-------------------------------|---|--|
| | <ul style="list-style-type: none"> • Environmental protection including emissions and hazardous waste management • Social management including human rights, labour & worker rights and Conflict affected and High Risk Areas | <ul style="list-style-type: none"> • Resume/CV on the CAB letterhead • Professional audit log endorsed by the CAB. |
| | <hr/> Bauxite Mining <ul style="list-style-type: none"> • Mine Rehabilitation • Biodiversity management • Indigenous Peoples Rights including Free Prior and Informed Consent | <p><i>Audit logs should if practicable, note the ASI Supply Chain Sectors, and Discipline Knowledge relevant for that audit.</i></p> |
| | <hr/> Alumina Refining <ul style="list-style-type: none"> • Bauxite residue management • Indigenous Peoples Rights including Free Prior and Informed Consent | |
| | <hr/> Aluminium Smelting <ul style="list-style-type: none"> • Greenhouse gases • Spent pot line management • Indigenous Peoples Rights including Free Prior and Informed Consent | |
| | <hr/> Casthouses <ul style="list-style-type: none"> • Greenhouse gases • Dross/waste management | |
| | <hr/> Semi-Fabrication Material Conversion Other Manufacturing <ul style="list-style-type: none"> • Material stewardship and Recycling (e.g. life cycle analysis and sustainability in product design, manufacture and recycling) | |
| | <hr/> Aluminium Re-melting / Refining <ul style="list-style-type: none"> • Material stewardship and Recycling • Greenhouse gases | |

| Individual Auditor Competency | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) | | | | | | | | | | | | |
|---|--|---|--|------------|------------------|--|---------------------|--|-------|--|---------------|--|---------------------------------|--|
| Discipline Knowledge – ASI Chain of Custody Standard | <ul style="list-style-type: none"> • Dross/waste management | For each of the sectors and disciplines noted that relates to the ASI Chain of Custody Standard, clear reference to competencies, experience and skill sets to documents such as: <ul style="list-style-type: none"> • Qualifications, competency and training evidence (e.g. training certificates, qualification statements, licences, etc.) • Resume/CV on the CAB letterhead • Professional audit log endorsed by the CAB. <p><i>Audit logs should if practicable, note the ASI Supply Chain Sectors and Discipline Knowledge relevant for that audit.</i></p> | | | | | | | | | | | | |
| | <table border="1"> <thead> <tr> <th data-bbox="678 360 936 395">Sector</th> <th data-bbox="936 360 1395 395">Discipline</th> </tr> </thead> <tbody> <tr> <td data-bbox="678 395 936 836">All sectors</td> <td data-bbox="936 395 1395 836"> For the jurisdiction covering the Entity’s activities and products, knowledge of laws and regulations and their governing agencies covering: <ul style="list-style-type: none"> • Anti-corruption including management of cash payments • Social management including Human Rights and Conflict affected and High Risk Areas • Product claims and labelling </td> </tr> </tbody> </table> | | Sector | Discipline | All sectors | For the jurisdiction covering the Entity’s activities and products, knowledge of laws and regulations and their governing agencies covering: <ul style="list-style-type: none"> • Anti-corruption including management of cash payments • Social management including Human Rights and Conflict affected and High Risk Areas • Product claims and labelling | | | | | | | | |
| | Sector | | Discipline | | | | | | | | | | | |
| | All sectors | | For the jurisdiction covering the Entity’s activities and products, knowledge of laws and regulations and their governing agencies covering: <ul style="list-style-type: none"> • Anti-corruption including management of cash payments • Social management including Human Rights and Conflict affected and High Risk Areas • Product claims and labelling | | | | | | | | | | | |
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| All sectors | <ul style="list-style-type: none"> • Material accounting systems (quality control and assurance) | | | | | | | | | | | | | |
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| Aluminium Smelting | <ul style="list-style-type: none"> • Greenhouse gases | | | | | | | | | | | | | |
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| Semi-Fabrication | | | | | | | | | | | | | | |
| Material Conversion | | | | | | | | | | | | | | |
| Other | | | | | | | | | | | | | | |
| Manufacturing | | | | | | | | | | | | | | |
| Aluminium Re-melting / Refining | | | | | | | | | | | | | | |

| Individual Auditor Competency | Mandatory Requirement (unless otherwise noted) | Evidence (minimum) | |
|---|---|---|---|
| Country Experience & Local knowledge⁷ | Individual Auditors will be accredited to audit in specific countries based on: <ul style="list-style-type: none"> • Relevant sector knowledge and experience in Countries (consistent with the CAB’s Accreditation Scope) • Knowledge of local customs and practices • Knowledge of governance, social and environmental applicable laws. | Documentation noting experience and knowledge in the nominated countries such as: <ul style="list-style-type: none"> • Qualifications, competency and training evidence (e.g. training certificates, qualification statements, licences, etc.) • Resume/CV on the CAB letter head • Professional audit log endorsed by the CAB <p><i>Audit logs should if practicable, note the country in which the audit was conducted.</i></p> | |
| Sector Knowledge | <ul style="list-style-type: none"> • Demonstration of Aluminium Supply Chain Sector specific technical knowledge and experience. <p><i>ASI will provide general training to describe the risks, issues and basic processes for each of the Aluminium Supply Chain Sectors.</i></p> | Documentation noting experience and knowledge in the nominated sector such as: <ul style="list-style-type: none"> • Qualifications, competency and training evidence (e.g. training certificates, qualification statements, licences, etc.) • Resume/CV on the CAB letter head showing industry sector codes defined in the United Nations International Standard Industrial Classification of All Economic Activities (ISIC) or the equivalent document for your location. • Professional audit log endorsed by the CAB | |
| Lead Auditor | Additional experience for Lead Auditors | <ul style="list-style-type: none"> • Lead auditor training • 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. • Subject to at least one witness audit in the last 2 years by the CAB or the CAB’s Accreditation Body/ies. | <ul style="list-style-type: none"> • Qualifications, competency and training evidence (e.g. lead auditor training certificates, qualification statements, etc.) • Resume/CV on the CAB letter head • Professional audit log endorsed by the CAB • Witness audit reports |

Please note that the above requirements will be periodically reviewed by ASI.

⁷ Local context must be consistent with Auditor’s professional experience, qualifications and align with countries (all or in part) included in CAB’s ASI Accreditation Scope.