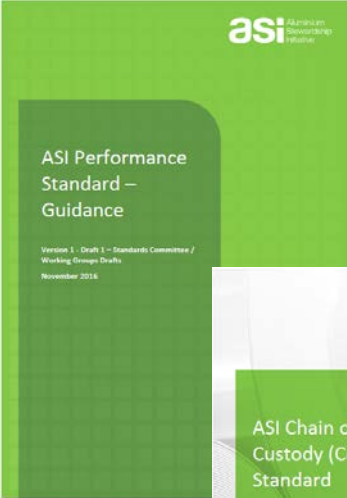


ASI Standards and Assurance – 2017 Consultation and Pilot

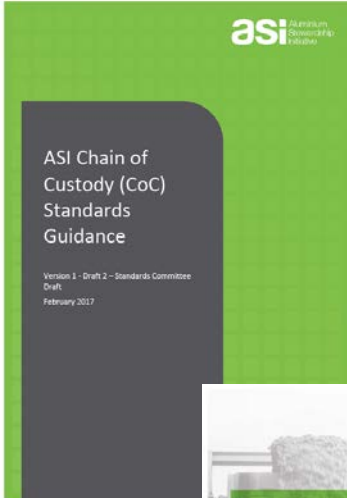
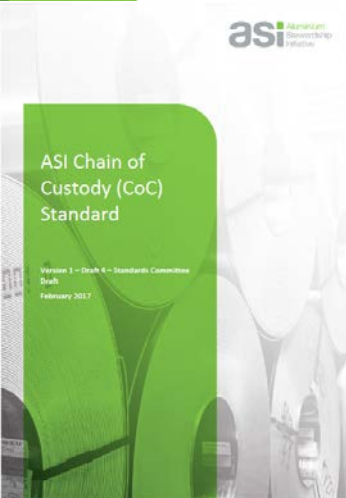
Dr Fiona Solomon, CEO, Aluminium Stewardship Initiative

May 2017

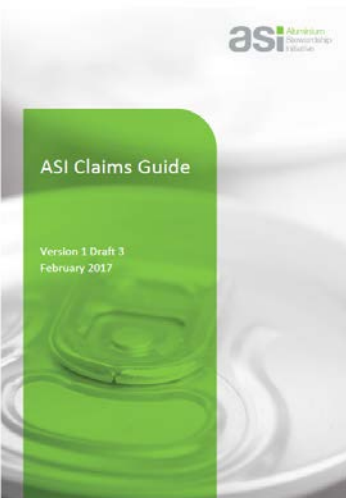
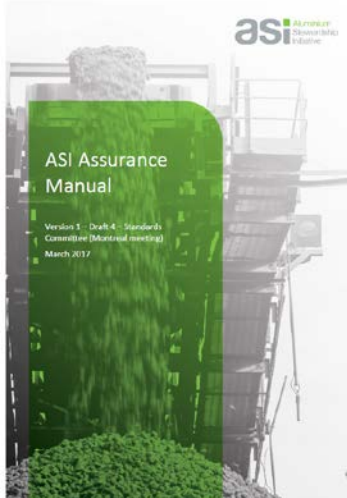
ASI normative documents



Performance Standard



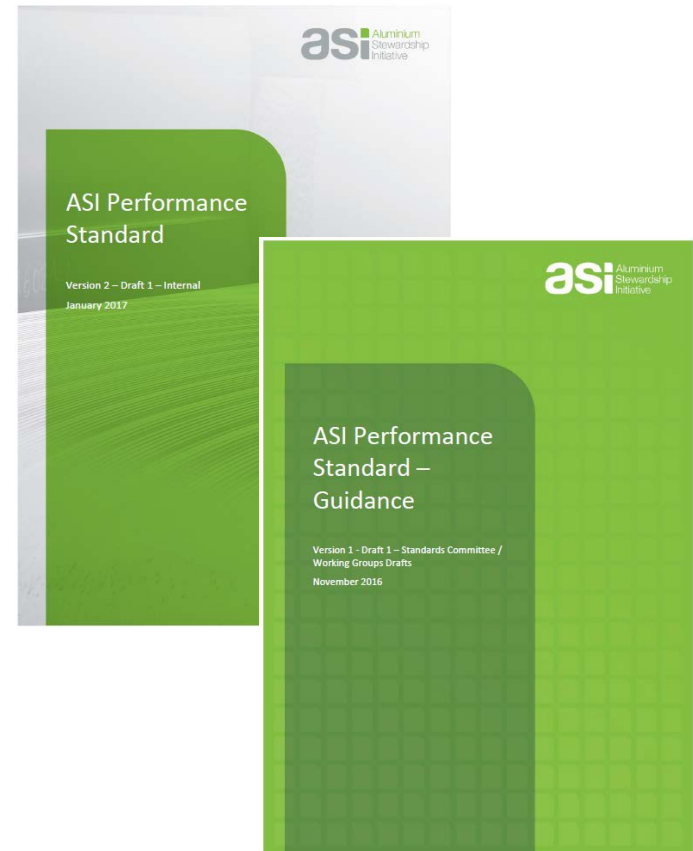
Chain of Custody Standard



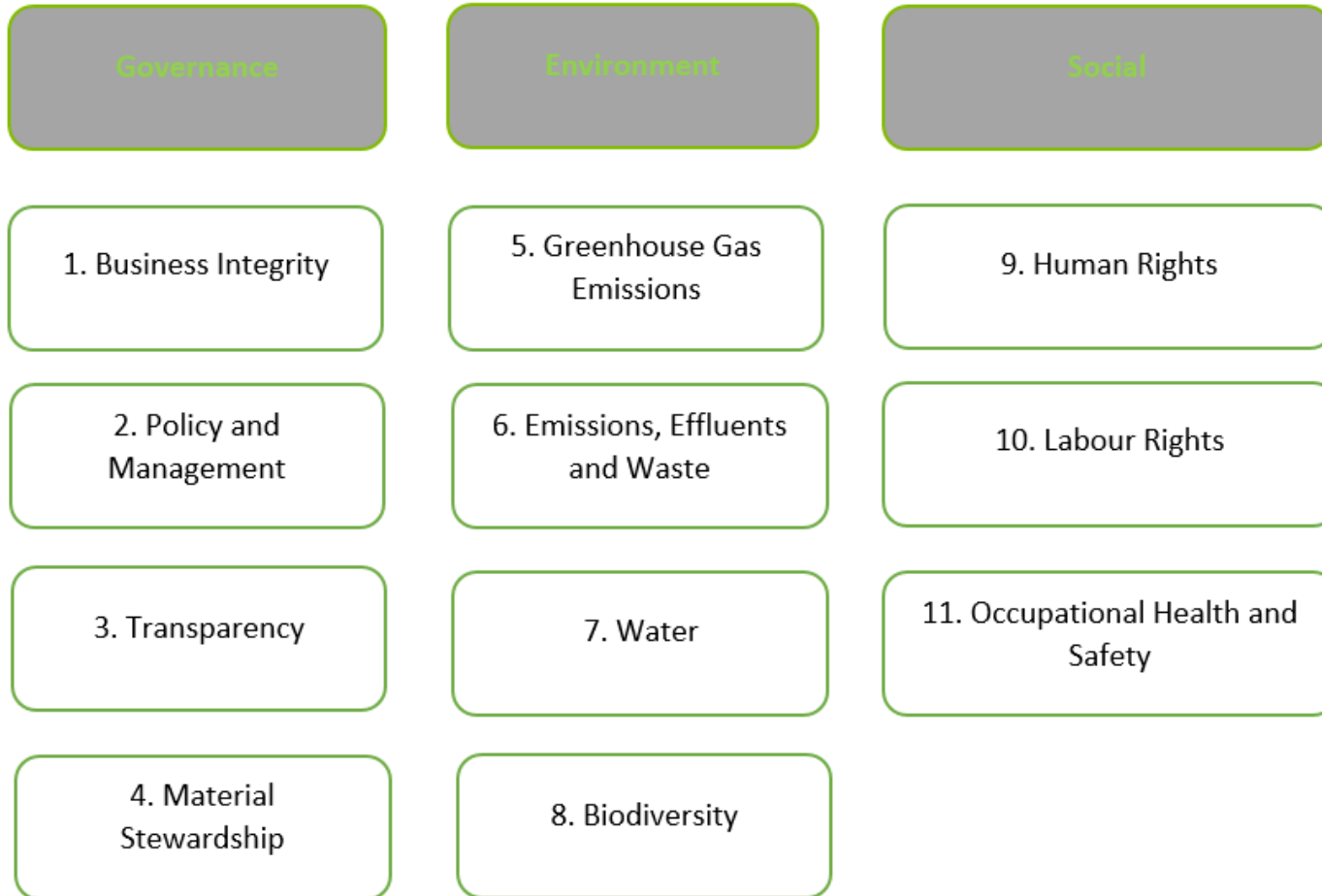
Assurance and Claims

Performance Standard – Overview

- **Version 2: Minor Revision**
 - Version 1 published 2014
 - Draft Version 2 + Guidance available for public comment in 2017
 - Aim to re-issue Version 2 at end of 2017, as part of the whole ASI certification program
- **Guidance chapters**
 - Being developed as a reference to support interpretation and implementation
 - One chapter for each principle, plus an introduction chapter.



Performance Standard – Overview



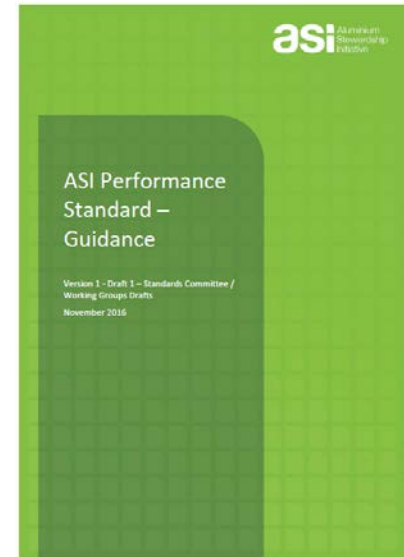
Minor Revision – Principles

Non-substantive changes that do not involve major changes to the content or performance requirements:

1. Layout to meet ASI Style Guide.
2. Updated introduction: reflecting ASI's organisational changes following its incorporation in 2015, and referencing supporting documents and processes.
3. Re-structuring of criteria into sub-sections to:
 - **express a single expectation**
 - **be simple, clear, concise**
 - **be more readily implementable**
 - **enhance auditability**
4. Minor clarification of language and intent in some criteria.
5. Development of complete Glossary: definitions for all key terms.

Performance Standard – Guidance

- ASI **Standards** set out requirements for what a business must do
- Standards **Guidance** offers suggestions on how
 - Background into the risks or issues the criterion is attempting to manage / improve
 - Explanation of special terms or processes
 - Cross reference to other parts of the ASI Standard or ASI normative documents
 - Reference to other relevant international standards, guidelines, toolkits etc.
 - Consideration of the size and maturity of the entity
 - Examples of good practice (performance and systems)
 - Consideration of the materiality for the supply chain activities (where applicable)
- Guidance is a **resource** to Members and Auditors



ASI normative documents



Performance
Standard

Chain of Custody
Standard

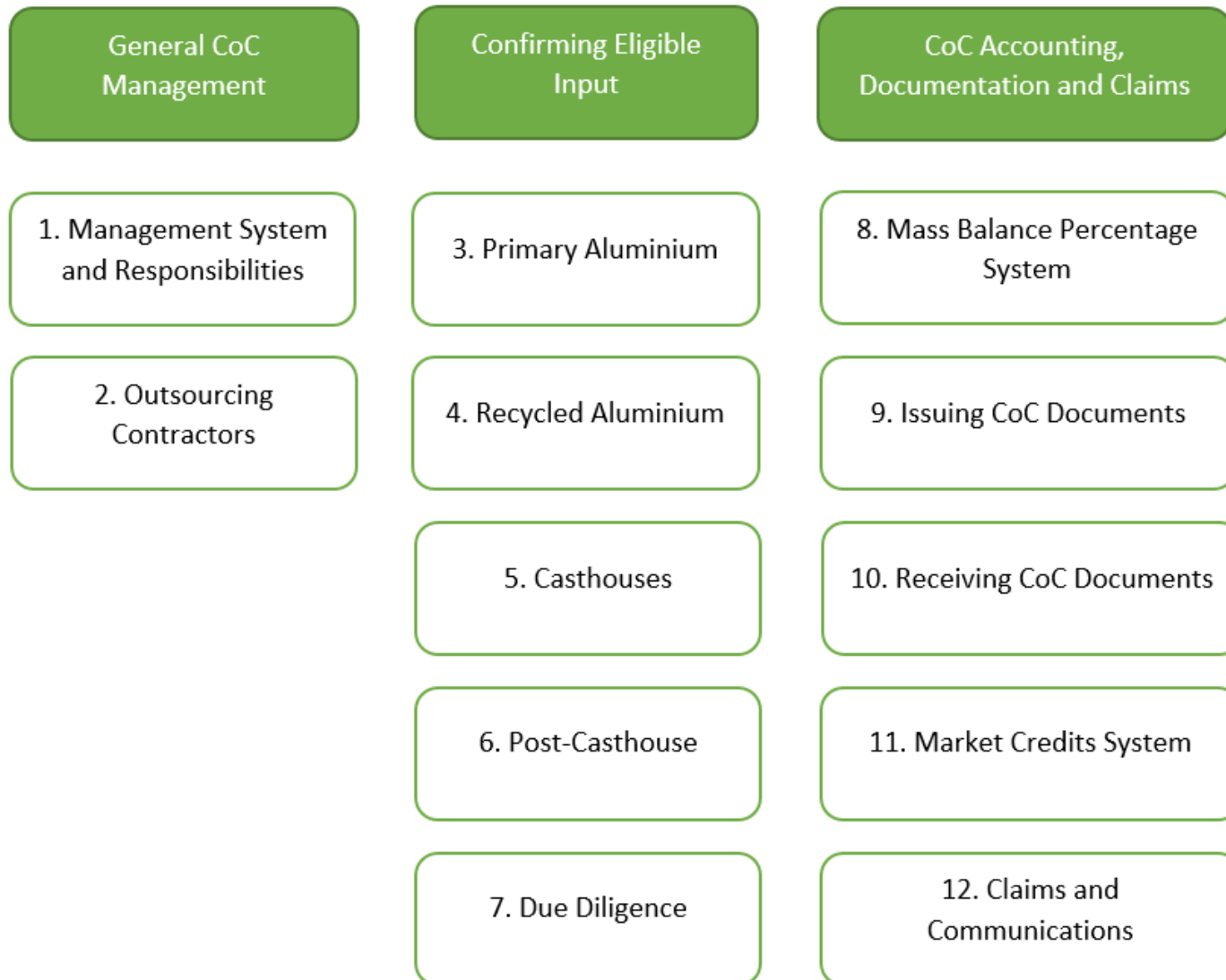
Assurance and
Claims

Chain of Custody Standard – Overview

- **Version 1**
 - Draft 3 + Guidance published for comment in 2016
 - Draft 4 + Guidance available for public comment in 2017
 - Aim to issue at end of 2017, as part of the whole ASI certification program
- **Guidance chapters**
 - Being developed as a reference to support interpretation and implementation
 - One chapter for each section, plus an introduction chapter.



Chain of Custody Standard – Overview



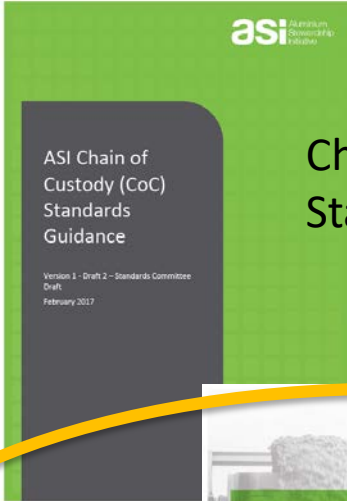
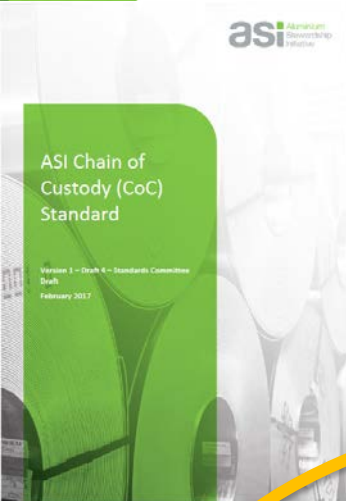
2016 CoC Public Consultation – Feedback

- **Communications were sent to 1000+ subscribers** to ASI's mailing list. These resulted in the following levels of participation:
 - 53 people attended the live webinars providing an overview of the CoC Standard.
 - 27 people viewed the recorded webinar on ASI's YouTube channel.
 - 17 people attended the in-person consultation workshop in London.
- **Written input was received from 31 commenters**, resulting in a total of 227 individual comments on the draft Standard and Guidance.
 - 31 individuals (including 17 from Members)
- Comments log, summary report, and draft 4 with track changes available on the website.

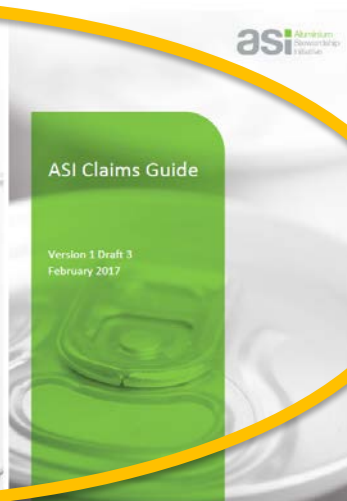
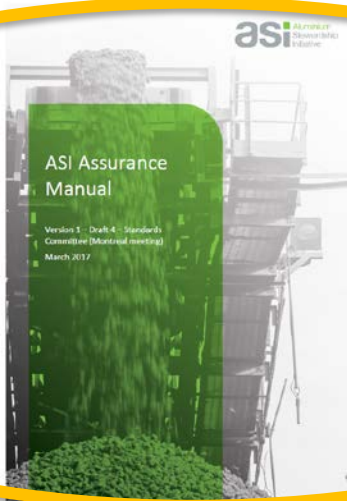
ASI normative documents



Performance Standard



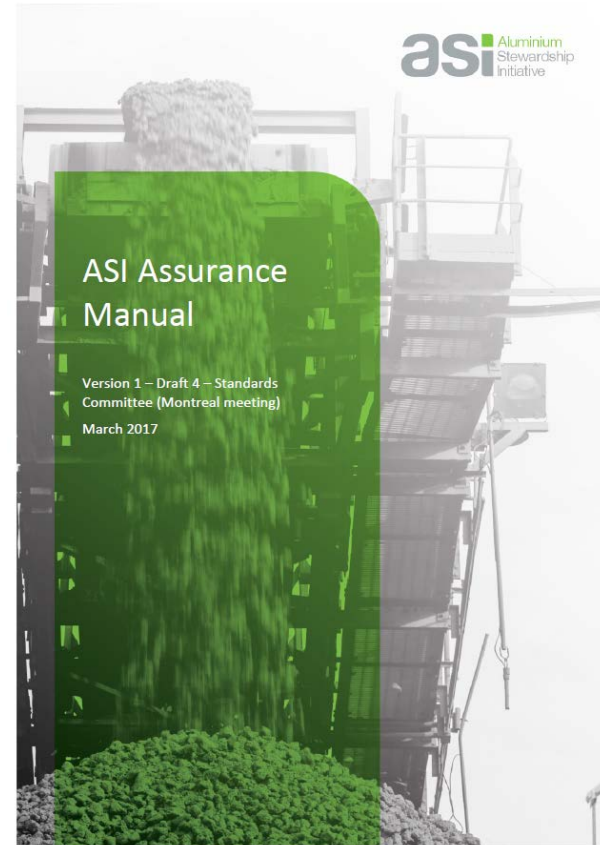
Chain of Custody Standard



Assurance and Claims

Assurance Manual

- **Purpose** of the ASI Assurance Manual is to set out the principles, procedures and objectives for the assurance model that supports ASI Certification.
- **Covers:**
 - The overall process for achieving ASI Certification
 - How Members perform an initial Self Assessment to prepare for an Audit
 - How Accredited Auditors conduct independent third party Audits to assess conformance with ASI Standards
 - General principles for conducting effective Self Assessments and Audits.
- For use by ASI Members and ASI Accredited Auditors when carrying out activities and responsibilities associated with ASI Certification, and publicly available.



Assurance Manual – Certification Scope

- The **Certification Scope** sets out what parts of a Business, Facilities and/or Product/Program are covered by an ASI Certification. This is sometimes also called the ‘unit of certification’.
- The Certification Scope needs to be clearly documented so that:
 - The Member is clear what falls within the scope of an ASI Audit
 - The Auditor is able to develop an appropriate Audit Plan
 - A Member’s Certification Scope is communicated clearly and accurately to stakeholders and business partners.
- The Self Assessment process is when Members set out their Certification Scope/s.

Assurance Manual – Certification Scope

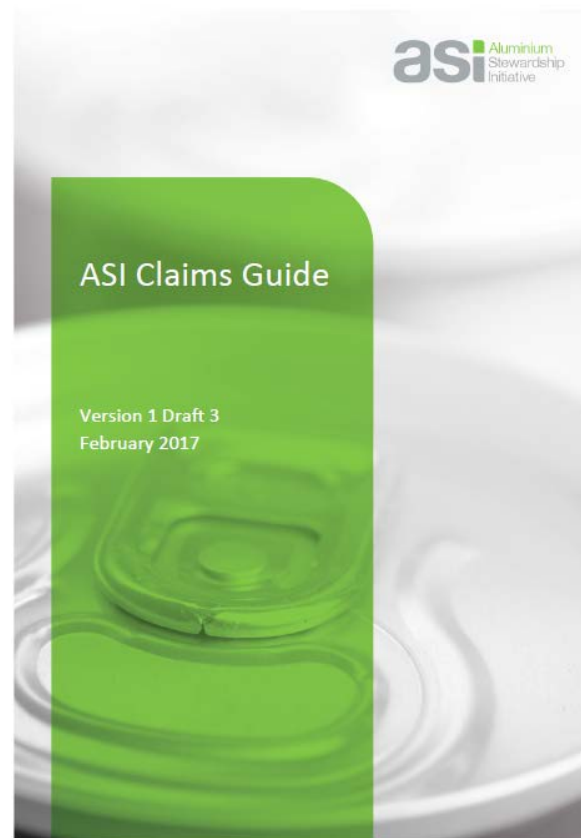
Approach	Certification Scope	Examples	Suitable for
Business Level	A whole Member company, a subsidiary of a Member or a business unit of a Member.	‘GreenAl Ltd’, which runs a smelter and 2 rolling mills. The packaging division of a diversified Member.	Members that are interested in a business-wide certification. If the desired Certification Scope does not cover <u>all</u> relevant parts of the nominated Business, then a Facility Level or Product/Program Level approach must be taken instead.
Facility Level	A single Facility or group of Facilities which are a subset of a Member’s total facilities.	A single mine. Five packaging manufacturing facilities out of a total of 50 operated by a Member.	Members that are interested in certification for only a selection of their Facilities. A minimum of one Facility is required under this type of Certification Scope
Products/ Programs Level	A single identifiable Product/Program or group of Products/Programs.	Low carbon aluminium. A car platform. A type of packaging. Material stewardship activities.	Members (usually Industrial Users) for whom a Product/ Program focus is more relevant than a Facility focus. A minimum of one Product/ Program as defined by the Member is required under this type of Certification Scope.

Fact Sheet – Certification Scope and Membership Classes

- Extract from the ASI Assurance Manual (Chapter 4 – Certification Scope)
 - Applicability of individual criteria in ASI Standards as defined by the relevant supply chain activities and membership class.
 - ‘Material Conversion’ stage provides for flexibility in Certification uptake – activity between Semi-Fabrication and further manufacturing / final products.
- Certification requirements:
 - ‘Production and Transformation’ members carrying out Material Conversion have opted to apply the full Performance Standard to these activities, and not just the Material Stewardship criteria.
 - ‘Industrial Users’ members have opted to apply only the Material Stewardship criteria in the ASI Performance Standard to their Material Conversion activities. However if additional supply chain activities (eg Semi-Fabrication) are included in the Entity’s Certification Scope then the associated criteria in the Performance Standard will be applicable to those activities.
- Questions and comments on this approach are welcome during the consultation.

ASI Claims Guide – Purpose

- **Purpose** of the ASI Claims Guide is to set out the rules and supporting guidance for:
 - Claims relating to ASI Membership
 - Claims relating to the ASI Performance Standard
 - Claims relating to the ASI Chain of Custody Standard
 - Use of ASI Logos and QR Code
 - Monitoring, enforcement and complaints
- **Applicability:** The Guide must be used by ASI Members when making ASI-related claims, and by any non-members making ASI-related marketing claims.



Pilot Program – Objectives

- ASI Pilot Program scheduled for **July-September 2017**
- **Objectives are:**
 1. Ensure that the ASI Assurance Platform integrates all relevant requirements of, and supporting information for, the ASI standards and assurance model
 2. Test the deployment process across a range of business types and operating locations
 3. Test the workflows and supporting guidance for a range of certification scopes
 4. Provide an opportunity for members to prepare themselves for certification in 2018 through a trial self-assessment, and if desired, the involvement of independent auditors
 5. Identify opportunities for improvement to the Platform, supporting documentation and training programs

Public comment period

- May 5 – July 7 2017
- Webinars – live and recorded
- Website – <https://aluminium-stewardship.org/asi-standards/public-consultation-2017/>
- Email – info@aluminium-stewardship.org

We look forward to your input!

Thanks and close