

## ASI Standards – 2017 Consultation – Overview

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*In this document: Find out what you need to know about the development of ASI's certification program and opportunities to provide input and feedback in the 2017 consultation period ...*

### 1. About ASI

The Aluminium Stewardship Initiative (ASI) is a standards setting and certification organisation whose mission is to recognise and foster the responsible production, sourcing and stewardship of aluminium. As a member-based, multi-stakeholder global initiative, ASI is the result of producers, users and stakeholders in the aluminium value chain coming together to build consensus on 'responsible aluminium'. ASI is focused on developing an independent third party certification program to ensure sustainability and human rights principles are increasingly embedded in aluminium production, use and recycling.

### 2. Documents for 2017 Consultation

ASI is opening a public consultation period for all stakeholders to review and comment on the following draft documents:

- ASI Performance Standard – Version 2 (minor revision of previously published version 1) and accompanying Guidance
- ASI Chain of Custody Standard – Version 1 (draft 4) and accompanying Guidance
- ASI Assurance Manual – Version 1 (draft 5)
- ASI Claims Guide – Version 1 (draft 5)



### 3. Timing for 2017 Consultation

ASI is holding a 60 day consultation period from approximately May-June 2017, to enable an integrated review by stakeholders, ahead of a planned pilot program.

Key dates for consultation and finalisation of ASI's normative documents are:

- ASI Standards – public consultation on latest drafts of Performance Standard and CoC Standard – May-June 2017
- Pilot program – July-September 2017
- Indigenous Peoples Advisory Forum meeting – July 2017
- Standards Committee review of all feedback – September-October 2017
- Board Adoption of final standards – target November/December 2017.

### 4. About ASI Standards

ASI's Performance Standard covers critical issues for the entire aluminium value chain including biodiversity management in mining, indigenous people's rights, greenhouse gas emissions, waste management and material stewardship.

- The current approved ASI Performance Standard (Version 1) was published in December 2014. It was developed with a multi-stakeholder Standard Setting Group, comprised of interested parties with a broad representation of interests in the key issues addressed by the standard. The International Union for Conservation of Nature (IUCN) acted as coordinator of the standard-setting process.
- A draft of the ASI Performance Standard Version 2 has been developed with the ASI Standards Committee for comment in 2017. It includes minor updates to integrate the ASI Performance Standard into the broader ASI certification program, and is not intended as a major revision of the broad intent or scope of the Standard's performance requirements. Changes include:
  - the rebranded ASI template design
  - an updated introductory section
  - an expanded glossary of definitions
  - the performance criteria reviewed and restructured for clarity and auditability, and
  - accompanying Guidance chapters to support interpretation and implementation.

ASI's Chain of Custody (CoC) Standard aims to link responsible production with responsible sourcing and support increased emphasis on sustainability in procurement practices. The primary purpose of the CoC Standard is to drive implementation of the performance requirements defined in the ASI Performance Standard.

- A draft 3 of the Chain of Custody Standard and accompanying Guidance was published for comment from October to December 2016. All stakeholder comments received were logged and published on the ASI website, along with ASI's responses, as well as a summary report analysing key topics for analysis by the Standards Committee.
- As a result, draft 4 of the Chain of Custody Standard, plus accompanying Guidance has been developed. Changes since draft 3 which respond to stakeholder input are highlighted with track changes in both documents.

### 5. About ASI Assurance and Claims

ASI's Assurance Manual sets out the principles, procedures and objectives for the assurance model that supports ASI Certification. It is for use by ASI Members and ASI Accredited Auditors when carrying out activities and responsibilities associated with ASI Certification, and will be publicly available. The Assurance Manual has been developed with the ASI Standards Committee and a draft made available with this consultation to provide the relevant context for the ASI certification program. It 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.

ASI's Claims Guide sets out the rules and supporting guidance for the types of claims made regarding ASI Certification and Membership. The Claims Guide has also been developed with the ASI Standards Committee and a draft made available to provide context and to seek feedback and questions from stakeholders and implementing companies. Specifically, the Guide gives instruction on:

- 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

## 6. Fact Sheet – Certification Scope and Membership Classes

A Fact Sheet has been developed to give an overview of how ASI Certification Scope and Membership Classes intersect through the applicability of individual criteria in ASI standards as defined by the relevant supply chain activities. It is an extract from the ASI Assurance Manual (Chapter 4 – Certification Scope).

ASI members in the Production and Transformation and Industrial Users classes are subject to minimum certification requirements as a condition of their membership. 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 (or two years of joining ASI, whichever is later).

'Material Conversion' is a supply chain stage that provides for flexibility in Certification uptake:

- '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.

ASI welcomes questions and comments on this aspect of its program design, as part of the consultation.

## 7. Planned pilot program

During 2017, both the CoC Standard and Performance Standard will be trialled during the pilot phase of ASI certification program development. The pilot is provisionally scheduled for July – September 2017 and aims to test the implementation and auditability of all ASI Standards, as well as the functionality of the ASI Assurance Platform being developed. The pilot phase will provide ASI members with additional opportunity for feedback on the ASI Standards and Guidance documentation.

Both the consultation process and the pilot phase will inform the finalisation of both the ASI Standards, Assurance Manual and Claims Guide. It is anticipated that these will be finalised for adoption by the end of 2017.

## 8. Providing feedback

ASI warmly welcomes your questions, feedback and input. More information and a comments form are available on the ASI website. If you'd like to make a time to discuss your feedback, please let us know!

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