

ASI Chain of Custody Standard - Public Summary and Consultation Plan

26 June 2016

Enquiries: info@aluminium-stewardship.org

Summary Information

Name and version of Standard	ASI Chain of Custody (CoC) Standard – Version 1
Purpose of standards-setting process	To further develop and finalise the ASI Chain of Custody Standard for use in the future ASI certification program.
Nature of consultation	Public consultation process that is open to any individual or organisation with an interest in the ASI Chain of Custody Standard.
Body Responsible for Consultation	Aluminium Stewardship Initiative Ltd
Consultation Period <i>(Please refer to the ASI Website for actual dates which may be subject to change)</i>	<p>ASI Chain of Custody Standard Public Summary and Consultation Plan – 60 day consultation:</p> <ul style="list-style-type: none"> • July to September 2016 <p>ASI Chain of Custody Standard Draft 3 - 60 day consultation:</p> <ul style="list-style-type: none"> • October – December 2016 <p>ASI Chain of Custody Standard Draft 4 - 30 day consultation:</p> <ul style="list-style-type: none"> • May – June 2017 <p>Member and public webinars will be convened during these periods.</p>
Languages	<p>ASI aims to make consultation drafts of the Chain of Custody Standards available in:</p> <ul style="list-style-type: none"> • English (ASI official language) • French <p>Additional languages for consultation drafts may be considered. The final version of the Standard may also be translated into additional languages.</p>
How To respond	<p>Comments can be provided via:</p> <ul style="list-style-type: none"> • Comment form (<i>See Attachment 1</i>) • Track changes on consultant draft • Own letter/document/email submission • Comments and questions during webinars and presentations. <p>Comments are to be provided in English unless otherwise agreed with ASI.</p> <p>If you are interested in discussing your points, contact info@aluminium-stewardship.org to arrange a time to speak with the ASI Secretariat.</p>

After the Consultation Periods	A summary of the received comments and ASI responses will be published on the ASI website.
Decision-making on the Standard	The ASI Standards Committee will review input received and decide ASI's response. The Standards Committee is responsible for agreeing the content of further consultation versions and the final version of the CoC Standard for adoption. The ASI Board is responsible for adopting the CoC Standard, following an assessment that due process has been followed and material risks have been addressed by the Committee.

The Aluminium Stewardship Initiative (ASI)

The Aluminium Stewardship Initiative (ASI) is a standards setting and certification organisation that recognises and fosters the responsible production, sourcing and stewardship of aluminium. As a member-based, 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 developing an independent third party certification program to ensure sustainability and human rights principles are increasingly embedded in aluminium production, use and recycling. 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 ASI Chain of Custody (CoC) Standard

The Chain of Custody (CoC) standard aims to link responsible production with responsible sourcing and support increased emphasis on sustainability in procurement practices. The CoC Standard aims to support responsible supply chains by:

- Providing a common standard for ASI Members who wish to implement chain of custody systems;
- Establishing requirements that can be independently audited to provide objective evidence for the granting of ASI CoC Certification; and
- Serving as a broader reference for the establishment and improvement of responsible sourcing and material stewardship initiatives in metals supply chains.

The ASI CoC Standard defines requirements for Entities and Facilities implementing chain of custody management systems, including systems for sourcing, administration and transfer of CoC Aluminium.

Other metals in aluminium alloys, platings or coatings, or other product components, and other materials such as plastics, glass, paints and agricultural products, are not covered under the ASI CoC Standard.

Standards development process

Draft 1 of the CoC Standard was developed under IUCN and an ASI Standards Setting Group (SSG) during 2014, with a [public consultation period](#) open from 14 July to 7 September 2014. Eight sets of comments on the draft were received and [published on the ASI website](#).

Following discussion of received comments, a [Draft 2 of the CoC Standard](#) was then made available on the ASI website in January 2015. While the draft has been publicly available since that time, a formal comment process was not convened.

During 2015, ASI became an independent organisation and primarily focused on developing its governance and basic assurance model with members and stakeholders for more than 12 months.

In 2016, work re-commenced on Draft 3 of the CoC Standard with the new ASI Standards Committee. Given the elapsed time since Draft 2, and the adoption of a new [ASI Standards Setting Procedure](#), this consultation plan covering Drafts 3 and 4 was developed for public information and comment.

The purpose of these public consultation processes is to provide stakeholders with sufficient time and opportunity to provide input on the new drafts of the standard, and for ASI to communicate publicly on how this input has been taken into account.

It is anticipated that a pilot evaluation of a Draft 5, following the 2 new rounds of public comment, will be held in July 2017, and that the CoC Standard will be finalised for adoption by the end of 2017.

Key Stakeholder Groups

ASI welcomes input from the following stakeholder groups during the standards development process:

- ASI Members in every membership class (Production and Transformation, Industrial Users, Downstream Supporters, Civil Society, Associations and General Supporters)
- Indigenous Peoples, through the Indigenous Peoples Advisory Forum
- Other users, producers and recyclers of aluminium
- Aluminium traders and market analysts
- Other civil society organisations, associations and technical experts
- Small businesses
- Governments and regulators
- All stakeholders with an interest in the aluminium value chain

Contact information

Aluminium Stewardship Initiative

Email: info@aluminium-stewardship.org

Telephone: +61 3 9857 8008

Mail: PO Box 4061, Balwyn East VIC 3013 AUSTRALIA

Website: www.aluminium-stewardship.org

ASI Chain of Custody Standard - Public Consultation Comments Form

Name <i>(See Anonymity Note):</i>	
Email address <i>(See Anonymity Note):</i>	
Organisation <i>(Optional):</i>	
Country <i>(Optional):</i>	
<p>Anonymity Note: While ASI prefers to reference attributed comments, we respect that there may be situations where you would like anonymity. Examples of reasons for anonymity could include ‘commercial sensitivity’, ‘privacy protection’, ‘political repercussions’, etc. If you would like to be anonymous, please note in the adjacent column.</p>	<p><i>I choose anonymity because:</i></p>

#	Page	Line	Heading/ Figure/Table Number	Type of Comment (General, Specific, Editorial)	Comment and Reason for Comment	Suggested Change To Wording

Please add additional rows as required.