

Summary of normative documents being developed for the ASI Certification program

July 2016

Introduction

This document aims to provide an overview summary of the normative documents that are being developed for the ASI Certification program. These documents set out the key elements for how ASI Certification will be designed, implemented, overseen and improved over time.

1. Key procedures (Design)

How ASI develops and makes decisions on standards, assurance and monitoring and evaluation (M&E)

The **ASI Governance Handbook** aims to provide an overview of the design and implementation of the ASI governance model. It is aimed at orienting and guiding the various participants in ASI's governance structure, including Board directors, Committee members, the Indigenous Peoples Advisory Forum and ASI staff.

[Status = draft 8, to be adopted by Board pending input from IPAF re their Terms of Reference]

The **ASI Standards Setting Procedure** sets out the process for the development, approval, publication and revision of ASI Standards. It is applicable to the development of new and revision of existing ASI Standards.

[Status = version 1 adopted by the ASI Standards Committee in April 2016]

The **ASI Working Groups – Terms of Reference Template** sets out the key information required to scope the establishment of a new Working Group. Working Groups are established by, and report to, the Standards Committee. They are designed to delegate technical work to groups with appropriately qualified participants, and provide an opportunity for participation in standards development by ASI members not serving on the Standards Committee.

[Status = version 1 adopted by the ASI Standards Committee in April 2016]

The **ASI Complaints Mechanism** aims to ensure the fair, timely and objective resolution of complaints relating to ASI's standards setting processes, certification program, auditor conduct and ASI policies and procedures. It serves as an important part of the overall ASI governance model, allowing stakeholders to raise issues of concern and have these investigated and addressed as appropriate.

[Status = version 1 adopted by the ASI Board in November 2015]

2. ASI Standards

What are the requirements for participants in the aluminium value chain

The **ASI Performance Standard** sets out principles and criteria for 11 key sustainability issues in the aluminium value chain, grouped into governance, environment and social requirements. To support implementation, a **Performance Standards Guidance** document will be developed.

[Status = version 1 Performance Standard published in December 2014, will need re-issue with full suite of normative documents. Guidance still to be developed.]

The **ASI Chain of Custody Standard** aims to link responsible production with responsible sourcing and support increased emphasis on sustainability in procurement practices. To support implementation, a **Chain of Custody Standards Guidance** document will be developed.

[Status = draft 3 Chain of Custody Standard and Guidance in development.]

3. Assurance

How compliance is assessed and certification administered

The **ASI Assurance Manual** sets out the methodology for the assurance procedures that support ASI Certification. It gives instruction and guidance on:

- The overall process for achieving ASI Certification
- How relevant 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 assessments and audits.

[Status = draft 3 in development.]

The **ASI Assurance Platform** aims to be an accessible web-based platform for managing the assurance process and data. It will include self-assessment toolkits, audit protocols, and oversight by ASI of timeframes and corrective actions.

[Status = not yet developed.]

4. Auditor Accreditation

Who carries out audits and are they working properly

The **ASI Auditor Accreditation Procedures** set out the quality and competence requirements for conformity assessment bodies (Auditors) seeking to carry out ASI audits. Auditors must have appropriate experience and expertise and there must be no conflict of interest when undertaking audits for individual ASI members.

[Status = draft 1 in development.]

The **ASI Oversight Procedures** will set out the procedures that ASI will undertake to gauge quality and consistency of ASI Accredited Auditors across multiple assessments and over time.

[Status = not yet developed.]

5. Claims and Monitoring and Evaluation of Impacts

What can members claim and is ASI certification having an impact for sustainability

The **ASI Claims Guide** sets out the rules and supporting guidance for claims made regarding ASI Certification and Membership.

[Status = draft 2 in development.]

The **ASI Monitoring and Evaluation Plan** will set out how ASI will evaluate whether the intended changes are happening, and where ASI's strategies need adjusting or additional focus.

[Status = Theory of Change adopted by ASI Board in Strategic Plan; M&E Plan needs development.]

ASI Standards System – Normative Documents

(July 2016)

How ASI develops and makes decisions on standards, assurance and M&E

ASI Standards – what are the requirements for participants in the aluminium value chain

Assurance – how compliance is assessed and certification administered

Who carries out audits and are they working properly

What can members claim and is ASI certification having an impact

