

ASI Standards – 2017 Consultation Plan

23 February 2017

Enquiries: info@aluminium-stewardship.org

1. Overview

This document sets out ASI's consultation plan for 2017, covering two standards:

- ASI Performance Standard – Version 2 (minor revision of previously published version)
- ASI Chain of Custody Standard – Version 1 (first version)

ASI plans to hold 60 day consultation periods simultaneously for both standards in approximately May-June 2017, to enable an integrated review by stakeholders and consideration of comments received, ahead of a planned pilot program.

Key dates are:

- ASI Standards Committee meeting – 5-7 April 2017
- ASI Standards – public consultation on latest drafts of Performance Standard and CoC Standard – May-June 2017
- Pilot program – July-September 2017
- Committee review of all feedback – September-October 2017
- Adoption of final standards – target November/December 2017.

2. 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, 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 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.

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

3. ASI Performance Standard – from Version 1 to Version 2

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 Version 2 of the ASI Performance Standard Version 2 is being developed with the ASI Standards Committee and includes minor updates to integrate the ASI Performance Standard into the broader ASI certification program and the pilot phase.

4. Summary Information – ASI Performance Standard

Name and version of Standard	ASI Performance Standard – Version 2
Purpose of standards-setting process	<p>To reissue the ASI Performance Standard with:</p> <ul style="list-style-type: none"> • 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. <p>The process is NOT intended as a major revision of the broad intent or scope of the Standard’s performance requirements. For more information, see the discussion in section 5 below.</p>
Nature of consultation	Public consultation process that is open to any individual or organisation with an interest in the ASI Performance 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>	<ul style="list-style-type: none"> • ASI Standards 2017 Consultation Plan (this document) – 30 day consultation during March 2017 • ASI Performance Standard (Version 2) and Guidance (Version 1) – ASI Performance Standard Guidance (Version 1) – 60 day public consultation during May-June 2017 <p>Member and public webinars will be convened during the consultation period.</p>
Languages	<p>ASI aims to make a consultation draft of the ASI Performance Standard and Guidance available in:</p> <ul style="list-style-type: none"> • English (ASI official language) • French (Standard plus selected Guidance chapters) <p>The final version 2 of the ASI Performance Standard will be translated into additional languages including Spanish, Portuguese, Bahasa, Mandarin and Arabic.</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 consultation 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

	<p>for agreeing the content of further consultation versions and the final version of the ASI Performance Standard for adoption. The ASI Board is responsible for adopting the ASI Performance Standard, following an assessment that due process has been followed and material risks have been addressed by the Committee.</p>
--	--

5. Overview of proposed changes and scope of the consultation process – Performance Standard

The consultation draft of Version 2 of the ASI Performance Standard will propose non-substantive changes that do not involve major changes to the content or performance requirements specified in the Standard. Specifically, the main changes to the ASI Performance Standard from Version 1 to the draft consultation Version 2 are:

- Layout to meet ASI Style Guide
- Updated introduction reflecting ASI’s organisational changes following its incorporation in 2015
- Expanded glossary and consistent use of defined terms
- Re-structuring of criteria into sub-sections to:
 - be more readily implementable
 - enhance auditability
 - express a single expectation
 - be simple, clear, concise
 - ensure they meet the credibility principles outlined in the ISEAL Code of Good Practice for Setting Social and Environmental Standards
- Minor clarification of language and intent in some criteria
- References to the supporting documents and processes that had been developed since V1 of the Standard was published at the end of 2014, including Guidance for this Standard designed to support interpretation and implementation of the Standard.

Presently, there is no intention to remove or introduce new performance requirements in the ASI Performance Standard during this revision. However, the proposed additional criterion for mine-site rehabilitation, which can be understood to form part of the requirements for Closure plans in Criterion 2.8 and the Biodiversity Action Plan in 8.2, has been expressed as a separate identifiable criterion under the proposed addition of 8.5 Mine Rehabilitation.

The purpose of the public consultation process is to provide all stakeholders with the opportunity to provide comments about proposed revisions to the current ASI Performance Standard. ASI will communicate publicly on how this input has been taken into account.

Please note that only comments about the proposed revisions will be considered as part of the revision of the ASI Performance Standard from Version 1 to Version 2. Any other suggestions for improvement are welcomed and will be recorded for consideration during the next major review of the ASI Performance Standard.

6. Chain of Custody Standard

A [Public Summary and Consultation Plan](#) for the Chain of Custody Standard was published by ASI in June 2016. The only update to that plan is the extension of the planned 30 day comment period in May-June 2017 to 60 days, as outlined in this document.

7. Planned pilot program

During 2017, both the CoC Standard and Performance Standard will be evaluated 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 certification program. 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. It is anticipated that these will be finalised for adoption by the end of 2017.

8. 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, including through the Indigenous Peoples Advisory Forum
- Other users, producers and recyclers of aluminium
- Other civil society organisations, associations and technical experts
- Aluminium traders and market analysts
- 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 Performance Standard (Version 1 to Version 2) Public Summary and Consultation Plan - 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.