

ASI Standards – Technical session

Dr Fiona Solomon, CEO

Centre for Sustainable Development, Montreal, Canada

Tuesday 4 April 2017

Antitrust Compliance Policy

Attendees are kindly reminded that the ASI is committed to complying with all relevant antitrust and competition laws and regulations and, to that end, has adopted an Antitrust Policy, compliance with which is a condition of continued ASI participation.

Failure to abide by these laws can potentially have extremely serious consequences for the ASI and its participants, including heavy fines and, in some jurisdictions, imprisonment for individuals.

You are therefore asked to have due regard to this Policy today and indeed in respect of all other ASI activity.



Overview

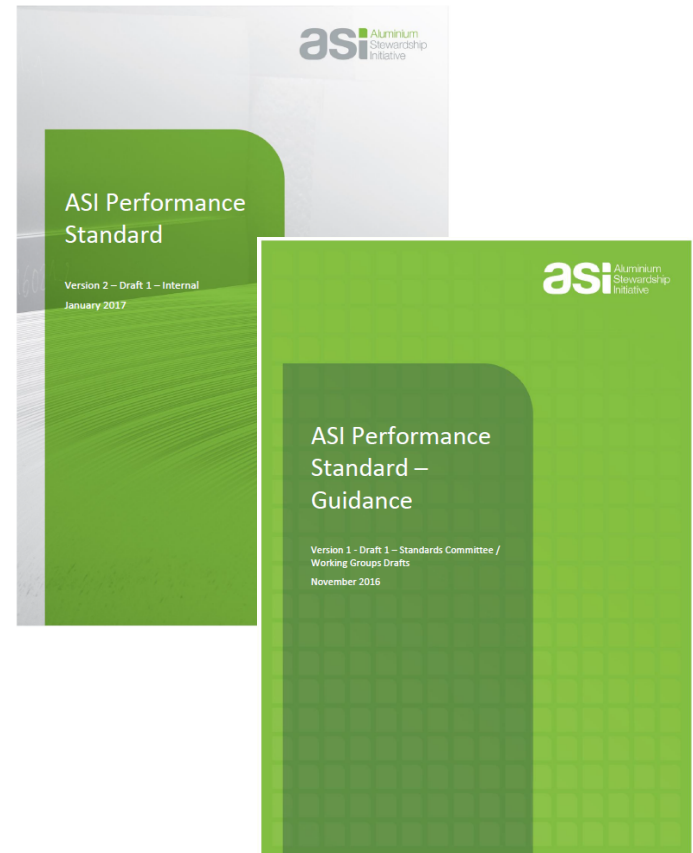
<ul style="list-style-type: none">• Performance Standard<ul style="list-style-type: none">• Minor revision• Work in progress areas	Next steps <ul style="list-style-type: none">• 2017 Public consultations• Pilot program
<ul style="list-style-type: none">• Chain of Custody Standard<ul style="list-style-type: none">• 2016 public consultation• Work in progress areas	Questions, comments, discussion <ul style="list-style-type: none">• Facilitated by Standards Committee Co-Chairs: Annemarie Goedmakers (Chimbo Foundation) and Jostein Soreide (Hydro)

ASI normative documents

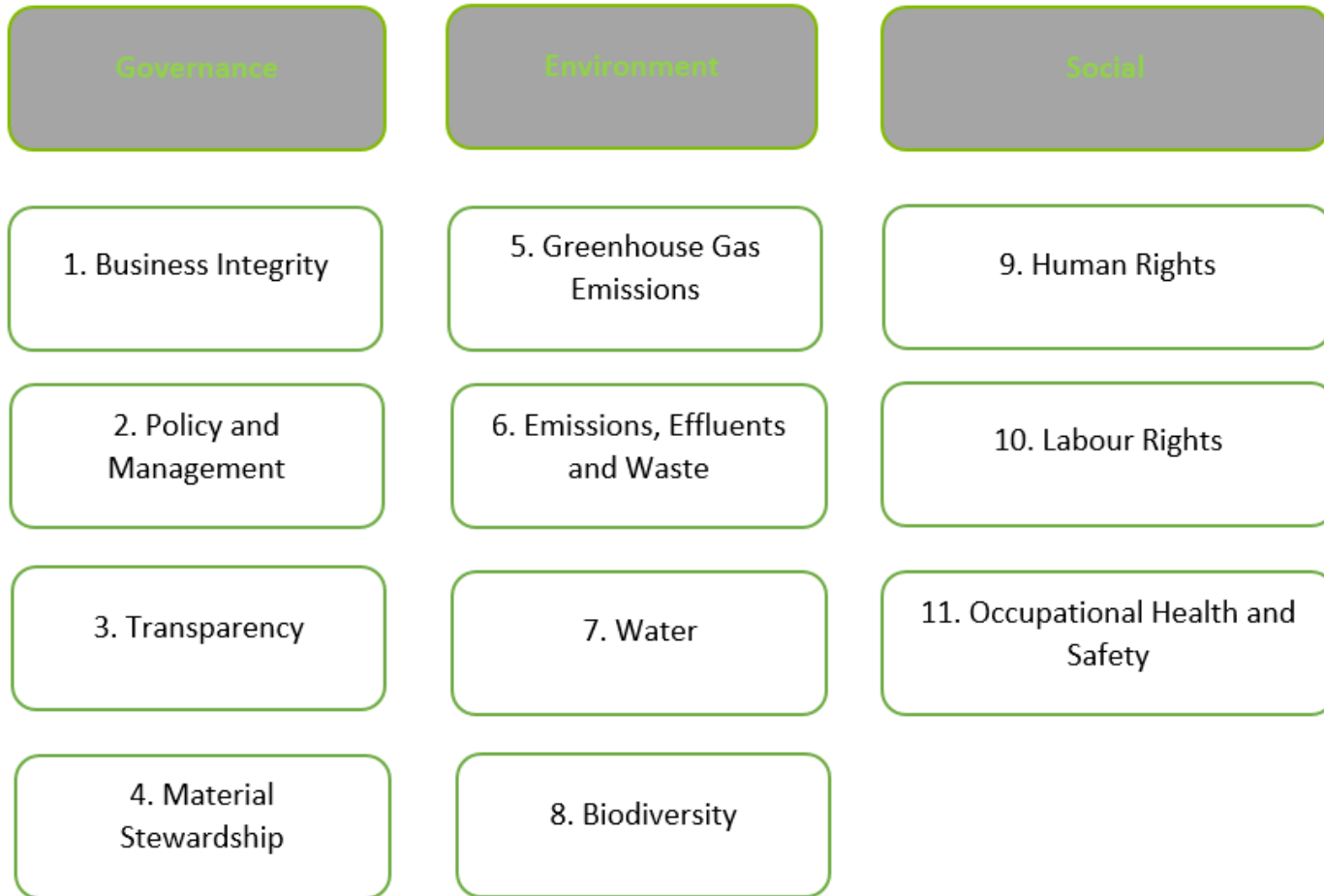


Performance Standard – Overview

- **Version 2: Minor Revision**
 - Version 1 published 2014
 - Draft Version 2 + Guidance being developed 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 specified in the Standard:

1. Layout to meet ASI Style Guide.
2. Updated introduction reflecting ASI's organisational changes following its incorporation in 2015.
3. Re-structuring of criteria into sub-sections to:
 - be more readily implementable
 - enhance auditability
 - express a single expectation
 - be simple, clear, concise
 - meet the credibility principles outlined in the ISEAL Standards Code.
4. Minor clarification of language and intent in some criteria.
5. Development of expanded/additional definitions for key terms.
6. References to supporting documents and processes (developed since V1 of the Standard was published at the end of 2014).

Performance Standard – general revisions

Change	Notes
Expanded glossary and consistent use of defined terms	<ul style="list-style-type: none">•Alignment with CoC Standard (draft) and Assurance Manual (draft)•Extracted from draft “Indicators, means for Verification and Guidance”
Change from ‘Company’ to ‘Entity’	Common to CoC Standard and certification scope flexibility
Separate criterion into discrete requirements	<ul style="list-style-type: none">•Introduction of second level requirements e.g.. Criterion 4.1 is now 4.1 a, b, c•More readily implementable and auditable
Consistency of language <i>within</i> the Performance Standards	<ul style="list-style-type: none">•For example, use of ‘workers’ consistently versus ‘personnel’, ‘employees’ etc•Aligned with definitions
Reference activity directly in the criteria rather than a footnote	For example “Entities <i>engaged in bauxite mining ...</i> ”

Performance Standard – general revisions

Change	Notes
Alignment with external standards	For example in 9.1 Human Rights Due Diligence, restructured criteria with new introduction so that UN Guiding Principles references are grouped together (prev also in 9.11 re remedy).
Change “Should” to “Shall” or move into guidance	For example in 4 “Any public communication on LCA <i>should</i> include public access” or “ The Entity <i>should</i> systematically contribute to the development of average Life Cycle Inventory (LCI) datasets ...” Change to “shall” if it’s a requirement, or move to guidance.
Removed <i>some</i> redundancy	•For example requiring conformance with the ASI Performance Standard in criteria 1.1 is redundant as it is a requirement for certification.
Combined similar criteria	•For example former 5.3 and 5.4 regarding GHG emissions from exiting and new smelters – now 5.3a,b,c

Performance Standard – work in progress

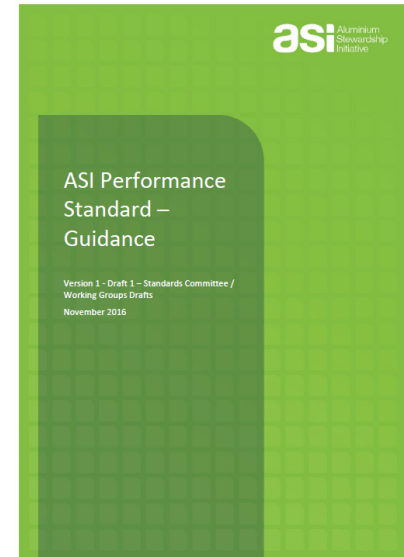
- **Mine Site Rehabilitation (under Principle 8, Biodiversity)**
 - Proposing new criteria
 - Already implicitly covered under criteria on biodiversity management and closure, but needed more visibility for a mining standard
- **Material stewardship (Principle 4)**
 - Restructuring of criteria into 4 areas (from 6)
 - Simplifying wording
 - Working Group input to Guidance chapter to support implementation
- **‘Area of Influence’ incorporating concept of ‘associated facilities’**
 - New Glossary definition (from IFC Performance Standards)
 - Using a consistent concept across relevant criteria:
 - Water assessment and reporting (7.1)
 - Biodiversity assessment (8.1)
 - Cultural heritage (9.5) – where it was already used but is now a defined term

Performance Standard – work in progress

- **Biodiversity (8)**
 - Incorporation of ecosystem services concept (like IFC Performance Standards)
 - Legally protected areas – gap?
- **Effective monitoring**
 - Water (7.2) and Biodiversity (8.2)
 - Clarify as part of management of these issues
- **Labour Rights (9)**
 - Additional detail in criteria for Freedom of Association/Collective Bargaining, Child Labour, Forced Labour
 - Contained within the ILO Conventions, but provide more business-relevant information for implementation

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, processes, guidelines, 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 segments (where applicable)
- Guidance is a **resource** to Members and Auditors



Performance Standard – next steps

➤ ASI Standards Committee

- Meeting in Montreal from April 5-7
- Review these areas and other points
- Work to finalise drafts for consultation

➤ Public consultation

- Targeted for May-June 2017
- Publish drafts of V2 Performance Standard and Guidance chapters
- Comments and feedback welcome

➤ Pilot program

- Targeted for July-September 2017
- Members' opportunity to pilot the standards and guidance for a Self Assessment process
- Provide comments and feedback

Performance Standard – discussion

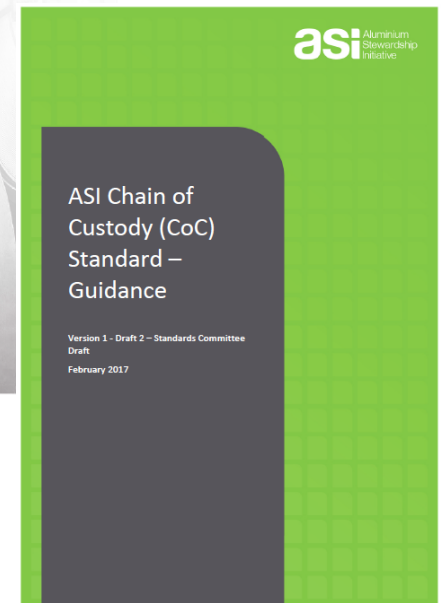
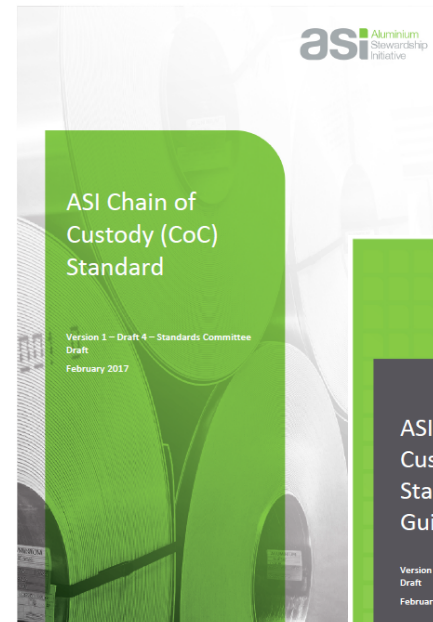
- Questions?
- Comments?
- Concerns?
- Issues the Standards Committee should consider?

ASI normative documents

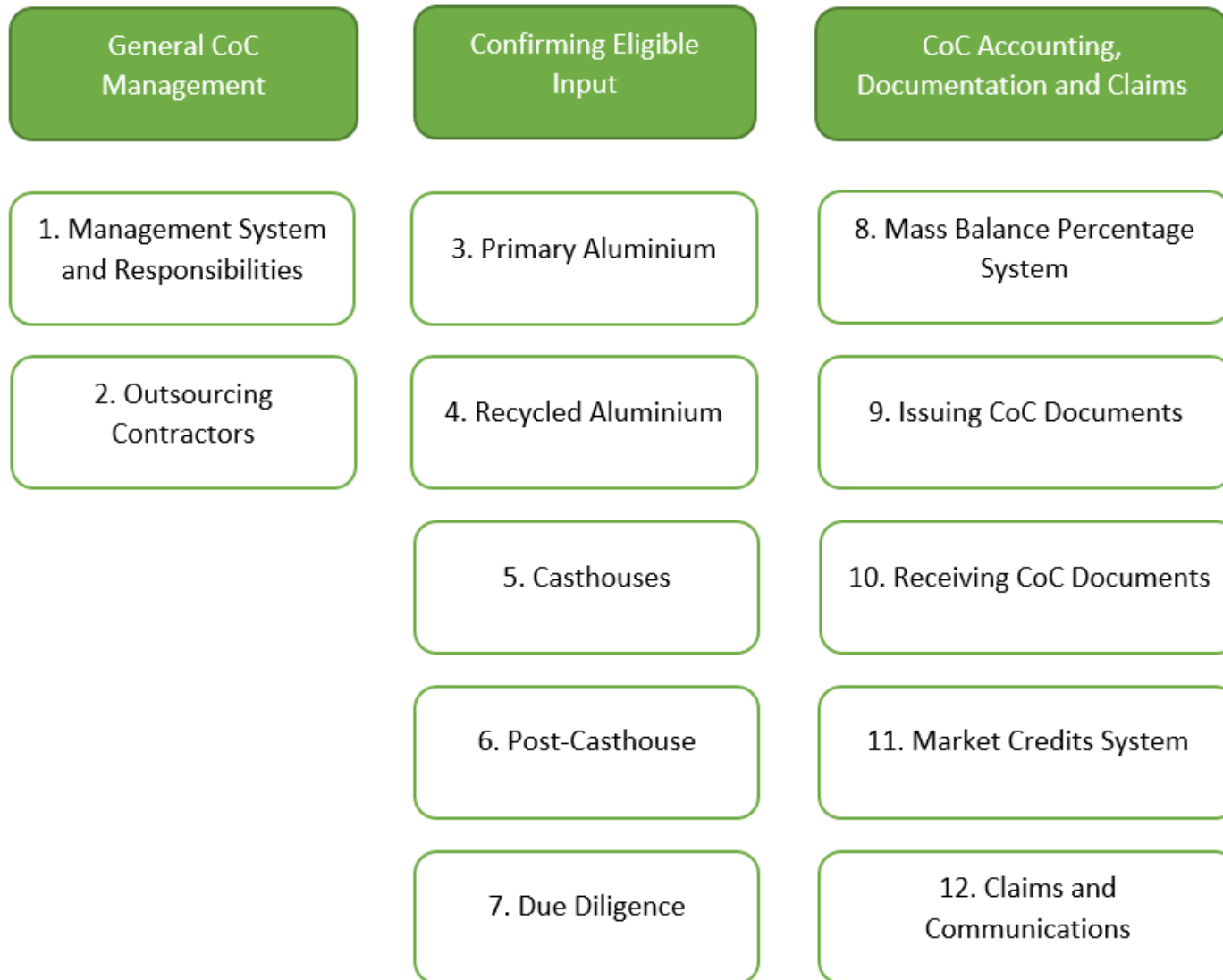


Chain of Custody Standard – Overview

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



Chain of Custody Standard – Overview

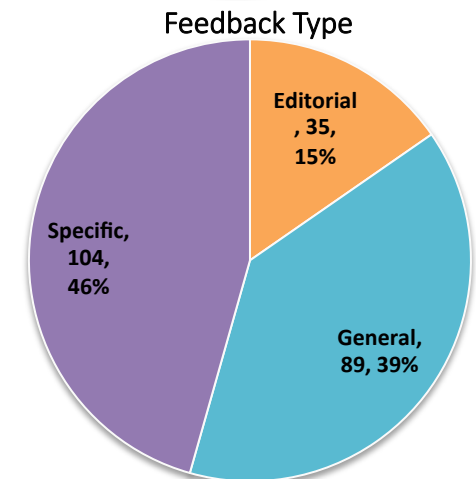
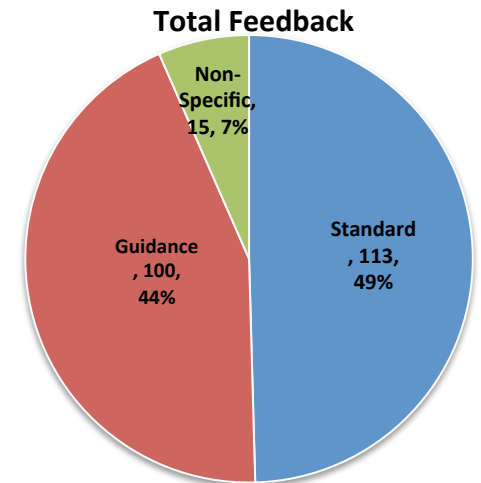


Public Consultation - Feedback

- **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
 - 24 organisations (incl. 17 Members)

Public Consultation - Feedback

- **General** comments (39%) about the layout, introduction and terms used in the documents
- **Specific** comments (46%) about:
 - Market Credits System
 - Due Diligence
 - Outsourcing Contractors
 - Recycling
- **Editorial** feedback (15%) (grammar, numbering and captions)
- 12 responses addressed the **Market Credits** questions:
 - 8-9 were broadly supportive of including this approach
 - 2-3 were not supportive of including this approach
- Positive feedback about the **webinars** (November) and London **workshop** (December)
- **Comments log** published on ASI website in February
 - Public version to be updated with ASI responses for next consultation process



Chain of Custody – work in progress

Issues identified for further discussion with Standards Committee:

- Eligible Scrap
- Due Diligence
- BREEAM certification (environmental assessment method and rating system for buildings)
- Tolerated material
- Market Credits System
- Disclosure of GHG emissions
- Mass balance administration
- Confidentiality
- Auditor accreditation

On next slides, highlight comments received

CoC Standard – Eligible Scrap

Summary of comments - Distinguishing between Pre- and Post-consumer Scrap (7 commenters)	Comments log references
In principle: <ul style="list-style-type: none">• “ASI standard should aim for recycling as much as possible without differentiation”• “Should only use one term: ‘Scrap’ and target 100% recycling regardless of origin”• “Should not create potential obstacles to pre-consumer recycling”• “Pre-consumer scrap should not be required to originate from a CoC Certified Entity to be Eligible Scrap”• “Requires the CoC supply chain to ‘fill’ with either post-consumer or ASI primary first, before CoC pre-consumer can become available. ”	18 34 39 43 75 147 148 149 228
In practice: <ul style="list-style-type: none">• “Scrap flows in the real world do not differentiate these types of flows”• “A clear break-down of scrap type is not possible for mixed inputs”• “While scrap suppliers do not currently differentiate the two, it’s possible they could”• “Proposal to allow visual inspections to determine estimates of mixed shipments to 25% increment level (has been added to guidance, and would address above 3 comments). ”	

CoC Standard – GHG disclosures

Summary of comments - GHG disclosures (3 commenters)	Comments log refs
<ul style="list-style-type: none">• “Disclosure of carbon footprint of ASI materials should be mandatory, to drive the supply chain to a low carbon economy”.<ul style="list-style-type: none">• Since the Performance Standard requires calculation of carbon footprint by aluminium smelters, could make disclosure mandatory?• “The current text results in GHG emissions for the casthouse only, without including bauxite mining and alumina production.”<ul style="list-style-type: none">• Current wording is designed to align with calculation approach for tonnes CO2/tonne of Aluminium produced in the Performance Standard.• GHG Working Group have agreed this calculation does not include upstream Scope 3 emissions.• “The scope 1 and 2 emissions of the post-casthouse entities must be added, instead of just passing on data from the casthouse.”<ul style="list-style-type: none">• This could fall under ‘Supplementary Information’?• Making mandatory could be difficult for smaller businesses.	36 137 138

8m CoC Standard – Confidentiality

Summary of comments – Confidentiality (5 commenters)	Comments log refs
<ul style="list-style-type: none">Added to the Standard and Guidance:<ul style="list-style-type: none">ASI is bound by its Anti-Trust Compliance Policy and Confidentiality Policy in dealing with commercially sensitive information. These policies are available on the ASI website at https://aluminium-stewardship.org/about-asi/legal-finance-policies/Confidentiality is also addressed in the draft Assurance Manual (which some commenters had not seen). Key points about how the ASI Secretariat ASI maintains data and information confidentiality are summarised below:<ul style="list-style-type: none">The ASI Secretariat will access information about Members and their Facilities provided in:<ul style="list-style-type: none">An application for the purposes of becoming a MemberThe Assurance Platform and Audit Reports for the purposes of CertificationReporting under the Chain of Custody Standard and for ASI's Monitoring and Evaluation programAny investigations required under the ASI Complaints Mechanism.Any commercially sensitive information will be kept strictly confidential within the ASI Secretariat.All information will be maintained securely and will not be exchanged or disseminated to any third party except for:<ul style="list-style-type: none">General member and certification info agreed to be published on the ASI website;Aggregate and non-identifying information for the purposes of ASI impacts reporting.	45 54 65 80 140 151

CoC Standard – Market Credits – in context

Four main types of Chain of Custody models

- *Each model has advantages and disadvantages*
 - *There are many variations in practice within each type of model*
 - **‘Identity preservation’**
 - Segregates the certified material from a source through every step of the supply chain eg certified coffee from X farm in Indonesia
 - **‘Bulk commodity’**
 - Segregates certified from non-certified material through every step of supply chain eg non-GMO canola oil
 - **‘Mass balance’**
 - Allows mixing of certified and non-certified material at one or more steps of the supply chain eg ASI Aluminium
 - **‘Book and claim’**
 - Material can move freely through the supply chain, and claims are supported through allocated or traded certificates eg ASI Credits
-
- Physical segregation**
- Administrative allocation**

CoC Standard – Market Credits – re-cap

- **How does the proposed ‘ASI Credits’ model work?**
 - Mass balance model must apply from mine/scrap supply through to Casthouse
 - Casthouse can then supply ASI Aluminium physically to their direct customers, or could allocate ‘ASI Credits’ to any Post-Casthouse entity
 - Can thus skip over broken chains of non-certified downstream entities, which can take time to build
 - Decoupled from physical material but can be used for claims such as ‘supported responsible production’
 - It’s another ‘administrative allocation’ CoC system – like mass balance
- **Why has it been proposed?**
 - ✓ Address broken chains after the Casthouse
 - ✓ Create an extra market for upstream supply
 - ✓ Provide a lead indicator for future demand for ASI Aluminium
 - ✓ Support transition into ASI CoC for downstream companies with long/complex/small business supply chains
 - ✓ Support the ultimate purpose of the CoC Standard: to drive implementation of the Performance Standard

CoC Standard – Market Credits – feedback

- Special focus was given to the Market Credits model for the consultation process:
 - An FAQ document
 - Specific questions for respondents in the comments form
- What was the response?
 - 12 responses addressed the Market Credits questions:
 - 8-9 were broadly supportive of including this approach
 - 2-3 were not supportive of including this approach
 - Three commenters recommended specifying a time bound period and/or process for review for the Market Credits system.
 - This has been added to section “I: Review” in the introduction to the CoC Standard (draft 4). As with all parts of the Standard, it would be specifically reviewed at the next formal review, or earlier as required. The review process is as per ASI’s standards setting procedures.

Chain of Custody Standard – next steps

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ASI Assurance – Technical session

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ASI normative documents



Overview

- **Assurance Manual**

- Certification Scope
- Risk-based Assurance
- Steps to Certification

- **Assurance Platform**

- Introduction
- Self Assessments
- Pilot program

- **Auditor Accreditation**

- Introduction

- **Claims Guide**

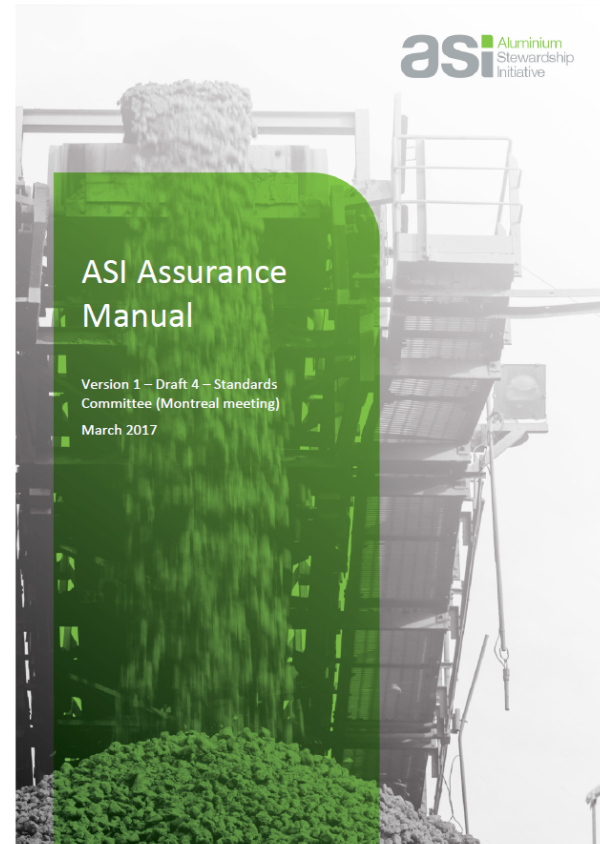
- Introduction

Questions, comments, discussion

- Facilitated by Standards Committee Co-Chairs: Annemarie Goedmakers (Chimbo Foundation) and Jostein Soreide (Hydro)

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

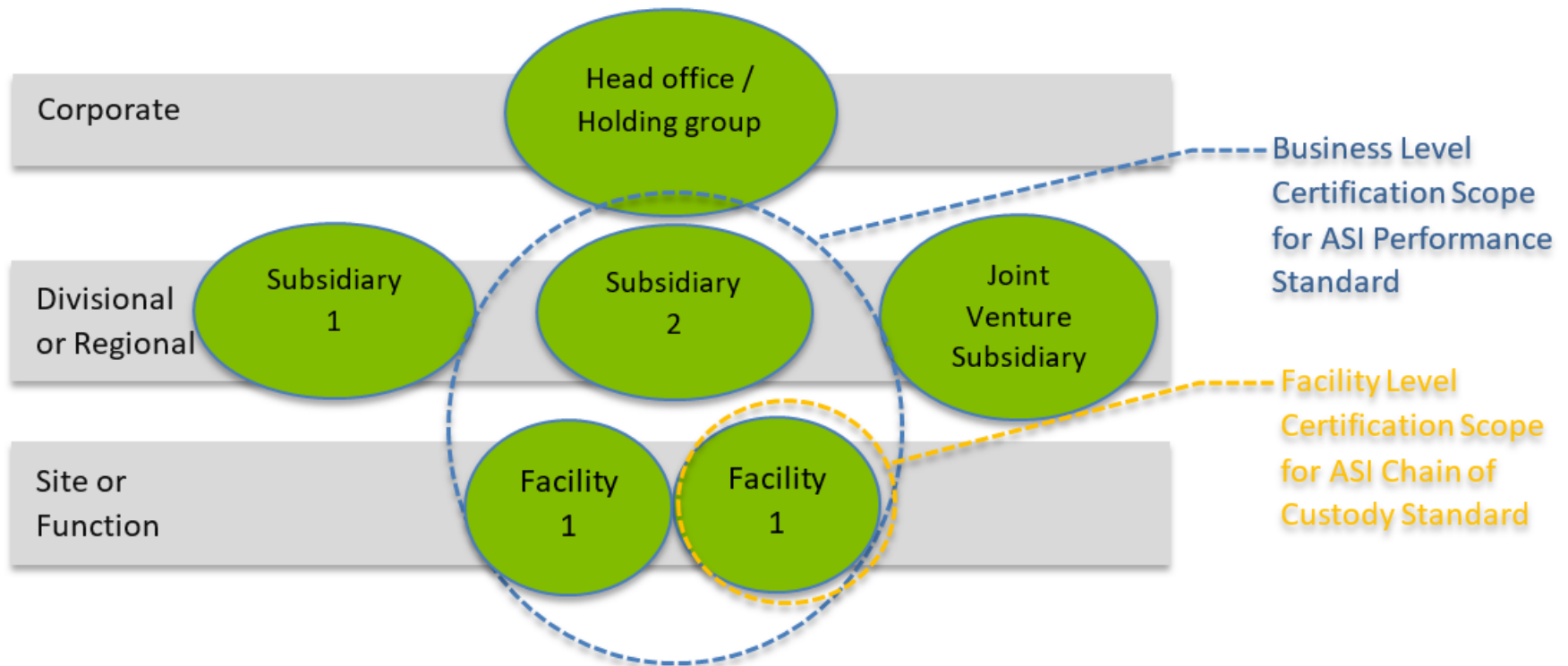
- The **Certification Scope** sets out what parts of a Business, Facilities and/or Product/Program are covered by an ASI Certification. This is sometimes also called the ‘unit of certification’.
- It is very important that the Certification Scope be accurately documented, so that:
 - The Member is clear what falls within the scope of an ASI Audit
 - The Auditor is able to develop an appropriate Audit Plan to determine Conformance with the relevant ASI Standard/s
 - 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.

Assurance Manual – Certification Scope

Figure 6 – Example of how Certification Scope for the ASI Performance Standard can differ from the Certification Scope for the ASI Chain of Custody Standard



Assurance Manual – Risk-based approach

- ASI aims to integrate a **Risk-based approach** in its assurance model:
 - This is innovative – a number of existing standards schemes are exploring or integrating this, but ASI has the opportunity to build it in from the start
 - The proposed model is being set out in the ASI Assurance Manual and will be actioned through the Assurance Platform
 - Testing in the Pilot Program will be critical and will help refine the approach
- ASI's Risk-based assurance model is expected to be **effective** in:
 - Increasing awareness of types of Risks and minimizing them through improved management systems
 - Reducing the likelihood of Non-Conformances with ASI Standards, which could lead to inability to gain or retain ASI Certification
 - Helping Auditors to optimize Audit processes and costs through a better understanding of the nature and context of Member's operations
 - Setting a framework that encourages Members to establish mature and effective systems and processes.

Assurance Manual – Maturity Ratings

- ASI's Risk-based assurance model frames variability across organisations in terms of 'Maturity Ratings' for the Entity's:
 - Systems
 - Risks and
 - Performance.
- Both the Self Assessment and the Audit will provide a process to establish, review and verify Maturity Ratings – captured through the ASI Assurance Platform.
- At the conclusion of an Audit, the Auditor will determine an Overall Maturity Rating – implications for timing and intensity of future Audits.

Steps to Certification

Step 1 - Self Assessment

- Preparation stage for the Certification Audit.
- Conducted by the Member in accordance with their defined Certification Scope.
- See section 7 for more details.

Step 2 - Certification Audit

- Conducted by an ASI Accredited Auditor who is an independent third party.
- Risk-based assessment of conformance.
- See section 8 for more details.

Step 3 - Audit Report

- Auditor prepares Audit Report for ASI and Member.
- Member implements corrective action plan/s, where required.
- Where Certification achieved, Step 4 commences.
- See section 8.17 and 8.18 for more details.

Step 4 - Certification Issued

- ASI reviews Audit Report for clarity and completeness.
- ASI issues Certification and updates ASI website.
- See section 9 for more details.

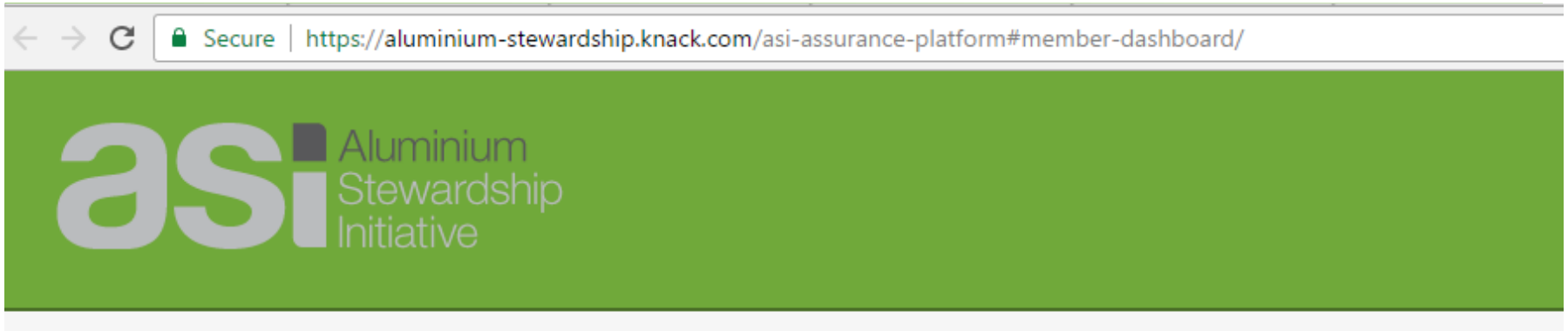
Step 5 - Periodic Reviews

- Surveillance and Re-Certification Audits are conducted during/at end of Certification Period.
- These verify continued conformance and/or may assess other identified risks.
- See section 8 for more details.

Assurance Manual – discussion

- Questions?
- Comments?
- Concerns?
- Issues the Standards Committee should consider?

ASI Assurance Platform



Welcome to the ASI Assurance Platform - Members Login

New Users can click on the "Sign Up" link below to request access. Your access will be confirmed via email following approval by the ASI Secretariat.

Existing Users, enter your email address and password to login.

Email Address

fiona@aluminium-stewardship.org



Password (forgot?)

.....



☐ Remember me

Sign In

Need an account?

[Sign Up](#)

ASI Assurance Platform

The screenshot displays the ASI Assurance Platform member dashboard. The browser's address bar shows the URL: <https://aluminium-stewardship.knack.com/asi-assurance-platform#member-dashboard/>. The page features a green header with the ASI Aluminium Stewardship Initiative logo. A navigation menu includes links for Member Details, Self Assessments, Certifications, Annual Impacts Reporting, Claims Approvals, Accredited Auditors, Accredited Specialists, Downloads, Training, Settings, and FAQ and Help. The main content area welcomes the user to the ASI Member Dashboard and provides instructions on how to use the platform. A section titled 'System Announcements' includes a search bar and a list of announcements. The user is logged in as Jane Smith, with links for Account Settings and Log Out. Yellow callouts highlight the browser's security status, the Self Assessments link in the navigation menu, the user's login status, and the Self Assessments link in the main content area.

Secure | <https://aluminium-stewardship.knack.com/asi-assurance-platform#member-dashboard/>

asi Aluminium Stewardship Initiative

Logged in as Jane Smith - [Account Settings](#) - [Log Out](#)

Member Details Self Assessments Certifications Annual Impacts Reporting Claims Approvals Accredited Auditors Accredited Specialists Downloads Training Settings FAQ and Help

Welcome to the ASI Member Dashboard!

Use the menu above to view and enter information. Your info will be saved at each step and you can come back and edit at any time.

Click on the [Self Assessments](#) link and complete the form to prepare for ASI Certification.

System Announcements

search by keyword

[add filters](#)

System Announcements Name	Platform Development Nov 2016
Announcement Detail	ASI began the development of the ASI Assurance Platform in Knack in November 2016. We are currently testing several platforms with
Announcement Date/Time	11/22/2016

[view](#)

Self Assessments Certifications

asi Aluminium Stewardship Initiative

ASI Assurance Platform

Secure | <https://aluminium-stewardship.knack.com/asi-assurance-platform#member-dashboard/asi-members/>

asi Aluminium Stewardship Initiative

[Member Dashboard](#) → [Member Details](#)

[Member Details](#) | [Self Assessments](#) | [Certifications](#) | [Annual Impacts Reporting](#) | [Claims Approvals](#)

ASI Member Details

ASI Members Name	The 1886 Smelting Company
Membership Class	Production and Transformation
Join Date	March 01, 2017
Certification Status (Performance Standard)	Pending
Next Audit Due (Performance Standard)	January 30, 2020
Certification Status (CoC Standard)	Pending
Next Audit Due (CoC Standard)	
Supply Chain Activities	Bauxite Mining, Alumina Refining, Aluminium Smelting, Aluminium Re-melting/Refining, Casthouses

Member Contacts

Name	Title / Position	Role	Email
Pierre Martin	Sustainability	Contributor to a Self Assessment	info@...
Jane Smith	Sustainability	Primary contact for ASI, Primary contact for a Self Assessment	fiona@...

[Back to Member Dashboard](#)

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Member Contacts

Name	Title / Position
Pierre Martin	Sustainability
Jane Smith	Sustainability

ASI Assurance Platform

← → ↻ Secure | <https://aluminium-stewardship.knack.com/asi-assurance-platform#member-dashboard/self-assessments/initiate-self-assessment/>

[Member Dashboard](#) → [Self Assessments](#) → [Initiate Self Assessment](#)

[Member Details](#) | [Self Assessments](#) | [Certifications](#) | [Annual Impacts Reporting](#) | [Claims Approvals](#) | [Accredited Auditors](#) | [Accredited Specialists](#) | [Downloads](#)

Initiate a Self Assessment

ASI Member

Assessment Type

ASI Standard

Main Contact Person for this Self Assessment *

First Last

Notes/Comments


[Back to Self Assessments](#)

Assessment Type

ASI Standard

ASI Assurance Platform

← → ↻ Secure | <https://aluminium-stewardship.knack.com/asi-assurance-platform#member-dashboard/self-assessments/certification-scope/add-certification-scope/>



[Member Dashboard](#) → [Self Assessments](#) → [Certification Scope](#) → [Add Certification Scope](#)

[Member Details](#) | [Self Assessments](#) | [Certifications](#) | [Annual Impacts Reporting](#) | [Claims Approvals](#) | [Accredited Auditors](#) | [Accredited Specialists](#) | [Download](#)

Add Certification Scope

ASI Member

Certification Scope Name *

Business, Facility or Product/Program Level

Description of Certification Scope

Mine A in Queensland, Refinery A in Queensland, Refinery B in Western Australia

Other Comments/Notes

TEST

Supply Chain Activities

Bauxite Mining ×

Alumina Refining × |

Aluminium Smelting

Aluminium Re-melting/Refining

Casthouses

[Back to Certification Scope](#)

Supply Chain Activities

Bauxite Mining ×

Alumina Refining × |

Aluminium Smelting

Aluminium Re-melting/Refining

Casthouses



ASI Assurance Platform

- Member Details
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- FAQ and Help

Certification Scope Details

The 1886 Smelting Company

Certification Scope Name Australian mining and refining

Business, Facility or Program/Product Name	Location - address and city	Country	Number of employees	Number of women employees	Other comments/notes	Edit Business, Facility or Program/Product Details	View Business, Facility or Program/Product Details
Mine A	Location address and city	Australia	275	125	Other comments/notes	edit	view
Refinery A	Location address and city	Australia	140	35	Other comments/notes	edit	view
Refinery B	Location address and city	Australia	340	110	Other comments/notes	edit	view

Add Business, Facility or Program/Product Details

[Back to Certification Scope](#)

Business, Facility or Program/Product Name

Location

Mine A

Location

Refinery A

Location

Refinery B

Location

Add Business, Facility or Program/Product Details

ASI Assurance Platform

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asi Aluminium Stewardship Initiative

[Member Dashboard](#) → [Self Assessments](#)

Logged in as Jane Smith - [A](#)

- Member Details
- Self Assessments
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- Initiate New Self Assessment
- Carry Out Self Assessment
- Submit Self Assessment for Review
- Copy and Update Previous Self Assessment

Self Assessments

Assessment ID	Certification Scope	Assessment Type	Main Contact Person	Status	Edit Self Assessment Details	Edit Certification Scope
52	Australian mining and refining	Pilot 2017 Self Assessment	Jane Smith	Open	edit	view
51	Canadian smelters	Pilot 2017 Self Assessment	Pierre Martin	Open	edit	view

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Self Assessments

Assessment ID	Certification Scope
52	Australian mining and refining
51	Canadian smelters

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Main Contact Person

- Jane Smith
- Pierre Martin

ASI Assurance

All Conformance and Objective Evidences

Showing 1-29 of 29

Performance Standard	Standard Title	Type of Objective Evidence	Details of Objective Evidence	Responsibility	Observations and Findings	Conformance Rating	Comments/Notes	Reason for Not Applicable Rating	Edit Conformance and Objective Evidence	Conformance and Objective Evidence Details
1.1	Legal Compliance								edit	view
1.2	Anti-Corruption								edit	view
1.3	Code of Conduct								edit	view
2.1	Environmental, Social, and Governance Policy								edit	view
2.2	Leadership								edit	view
2.3	Environmental and Social Management Systems								edit	view
2.4	Responsible Sourcing								edit	view
2.5	Impact Assessments								edit	view
2.6	Emergency Response Plan								edit	view
2.7	Mergers and Acquisitions								edit	view
2.8	Closure, Decommissioning and Divestment								edit	view
3.1	Sustainability Reporting								edit	view
3.2	Non-compliance and liabilities								edit	view
3.3a	Payments to governments								edit	view
3.3b	Payments to governments								edit	view
3.4	Stakeholder complaints, grievances and requests for information								edit	view
4.1a	Environmental Life Cycle Assessment								edit	view
4.1b	Environmental Life Cycle Assessment								edit	view
4.1c	Environmental Life Cycle Assessment								edit	view
4.2	Product design								edit	view

4.1c

Environmental Life Cycle Assessment

4.2

Product design

ASI Assurance Platform



1. Business Integrity
2. Policy and Management
3. Transparency
4. Material Stewardship
5. Greenhouse Gas Emissions
6. Emissions, Effluents and Waste
7. Water
8. Biodiversity
9. Human Rights
10. Labour Rights
11. Occupational Health and Safety

Self Assessment Details

Assessment ID	51
Certification Scope	Canadian smelters
ASI Standard	Performance Standard
Assessment Type	Pilot 2017 Self Assessment

Performance Standard Principle Details

Part	A
Criteria Number	4.3a
Criteria Principle	Aluminium Process Scrap
Criteria	The Entity shall minimize the generation of Aluminium Process Scrap within its own operations and where generated, target 100% of scrap for collection and subsequent recycling and/or re-use.
Examples of Objective Evidence	Examples of Objective Evidence 4.3a Aluminium Process Scrap
Guidance	Guidance

Edit Conformance and Objective Evidence

Type of Objective Evidence

☐ Documentation

☐ Observation

☐ Testimonial

☐ None

Details of Objective Evidence

Criteria

Examples of Objective Evidence

Guidance

The Entity shall have systems in place to maintain awareness of the risks of Aluminium Process Scrap.

[Examples of Objective Evidence 1.1 Legal Compliance](#)

[Guidance](#)

Edit Conformance and Objective Evidence

Type of Objective Evidence

- ☐ Documentation
- ☐ Observation
- ☐ Testimonial
- ☐ None

Details of Objective Evidence

Responsibility

Observations and Findings

Conformance Rating


Select... ▼

Comments/Notes

Submit

ASI Assurance Platform

← → ↻ Secure | <https://aluminium-stewardship.knack.com/asi-assurance-platform#member-dashboard/auditor-directory/>



[Member Dashboard](#) → [Accredited Audit Firms](#)

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Accredited Auditor Firms

[add filters](#)

Accredited Auditor Firms Name	Head Office Address	Website URL	Accreditation Scope - Standards	Accreditation Scope - Supply Chain
Auditor Firm A	5 Audit St Melbourne, VIC 3000 Australia	http://aluminium-stewardship.org	Performance Standard, Chain of Custody Standard	Bauxite Mining, Alumina Refining, Aluminium Smelting, Aluminium melting, Casthouse
Auditor Firm B	235 Audit Boulevard Paris, France	http://aluminium-stewardship.org	Performance Standard	Bauxite Mining, Alumina Refining, Aluminium Smelting, Aluminium melting
Auditor Firm C	35 Audit Road Quebec Canada	http://aluminium-stewardship.org	Chain of Custody Standard	Bauxite Mining, Alumina Refining, Aluminium Smelting, Casthouse

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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

Assurance Platform – discussion

- Questions?
- Comments?
- Concerns?
- Issues the Standards Committee should consider?

Auditor Accreditation

- **ASI Accredited Auditor:** An independent third party person or organisation meeting ASI's objective selection criteria and accredited to carry out ASI Audits.
- **To be eligible for ASI Accreditation,** they must be:
 - Impartial, independent third parties to ASI and its Members
 - Cannot be involved in ASI standards setting processes (other than interested parties submitting comments during public consultation periods)
 - Cannot be involved in ASI's or ASI Member's governance processes
 - Fulfil the requirements for 'proxy accreditation' (i.e. accreditation under a specified accreditation scheme which is accepted by ASI).

Auditor Accreditation

ASI Accreditation Scope	Requirement
ASI Performance Standard	<ul style="list-style-type: none">• ISO/IEC 17021 accreditation for management system certification schemes or an equivalent technical certification standard for management systems.
ASI Chain of Custody Standard	<ul style="list-style-type: none">• ISO/IEC 17021 accreditation for management system certification schemes or an equivalent technical certification standard for management systems, and/or• ISO/IEC 17065 accreditation for product certification schemes (which includes processes and services) or an equivalent technical certification standard for product certification management systems.
List of Countries	<ul style="list-style-type: none">• List of countries in ASI Accreditation Scope must be the same as the ISO 17021, ISO/IEC 17065 accreditation scope.
Aluminium Value Chain Sectors	<ul style="list-style-type: none">• Capacity, experience and competence to service the sectors nominated in the ASI Accreditation Scope.

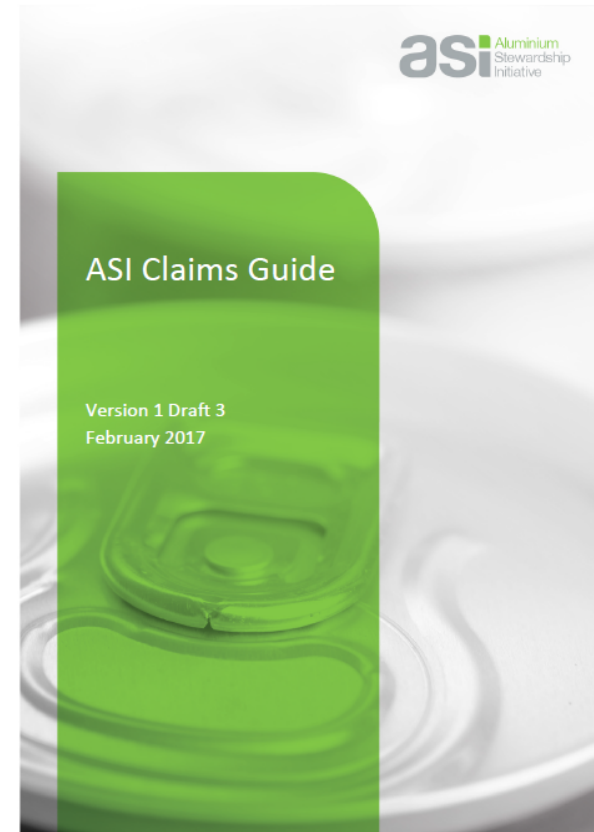
Accreditation must be demonstrated through independent assessment by an organisation registered with European Co-operative for Accreditation (EA) or the International Accreditation forum (IAF) or some other equivalent independent review. It cannot be demonstrated though a self-assessment or first party audit.

Auditor Accreditation – discussion

- Questions?
- Comments?
- Concerns?
- Issues the Standards Committee should consider?

ASI Claims Guide – Purpose

- **Purpose** of the ASI Claims Guide is to set out the rules and supporting guidance for the types of claims made regarding ASI Certification and Membership. 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
- Plan to publish the draft Claims Guide as part of the package of documents for **public consultation** in 2017.



ASI Claims Guide

- **What is a claim:** For the purposes of ASI, a claim or representation ('claims') is documented and consists of one or more of:
 - Use of an ASI logo
 - Use of an ASI Certification number
 - A text claim relating to ASI, which may be inside and/or alongside the logo, or standalone
 - Access to further information to support the claim, such as a website link
- **Applicability:** The Guide must be used by ASI Members when making ASI-related claims, and by any non-members making ASI-related marketing claims.

ASI Claims Guide

In a nutshell: Rules for different types of claims:

- **Membership:**
 - Can be made by all ASI members.
 - Must be consistent with scope of membership.
 - Approvals not generally required.
- **Certification:**
 - Must be consistent with the type and scope of ASI certification that the ASI Member has achieved.
 - Approvals may be required for CoC Claims (but not for CoC Documents or Credits Certificates as set out in the CoC Standard).
- **General marketing claims:**
 - Must be consistent with general requirements and principles to avoid misleading or confusing use.
 - If unsure, contact the Secretariat.

Claims Guide / General – discussion

- Questions?
- Comments?
- Concerns?
- Issues the Standards Committee should consider?

Thanks and close