ASI Monitoring and Evaluation (M&E) – Public System Report
*April 2018*

Background

This Public System Report is designed to provide a simplified overview of the key aspects of our monitoring and evaluation (M&E) system to stakeholders. If you have any questions, please contact info@aluminium-stewardship.org

Scope and Boundaries of the M&E System

- ASI was incorporated in 2015 and developed its current models for Standards-Setting, Assurance and Impacts concurrently from the initial stages. This enabled an integrated approach to M&E system design.
- The ASI M&E system is focused on the change ASI hopes to achieve in the global aluminium value chain. It is designed to support stakeholder learning and organizational improvement over time.
- The scope of issues under the M&E system is aligned with key topics in the Performance Standard and Chain of Custody Standard as well as broader strategies for sectoral change. As ASI's certification program launched in December 2017, implementation of the M&E system is planned for 2019/2020 onwards, following at least one year of operation and with a critical mass of certifications in place.
- ASI's M&E Plan is a dynamic document that continues to be developed with the ASI Standards Committee and associated Working Groups during 2018. It sets out the key issues ASI aims to address, the long term goals, desired impacts, expected outcomes and strategies, plus indicators for data collection.
- These stem from the ASI Theory of Change, illustrated below:

ASI Theory of Change – V2.1
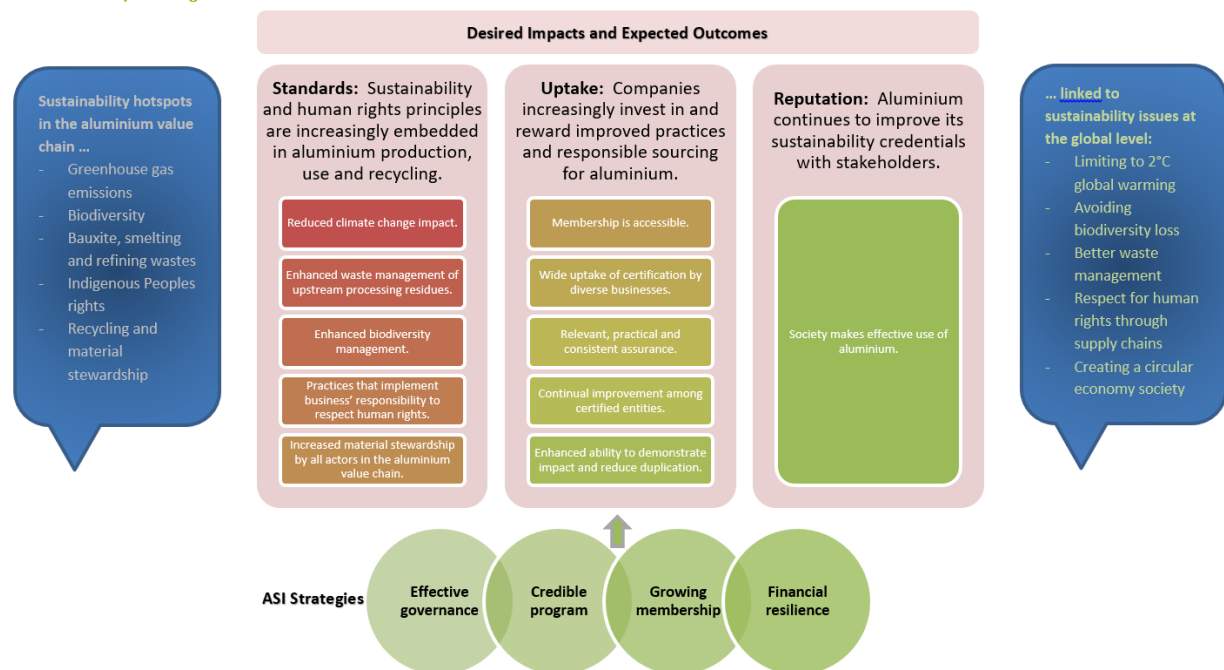
Roles and Responsibilities

- ASI still has a relatively small Secretariat of approximately 3.5 FTE. The ASI CEO, Fiona Solomon, has overall responsibility for M&E and can be contacted at fiona@aluminium-stewardship.org . The CEO works with the Board on ASI's broader strategy and Theory of Change, and with the Secretariat team

on broader Committee, Working Group and stakeholder input, development and implementation of the M&E system.

- Other key staff with direct M&E responsibilities are:
    - o Sam Brumale, Director of Standards and Assurance – working with the ASI Standards Committee and supporting thematic Working Groups on development of the ASI M&E Plan.
    - o Krista West, Director of Learning – providing input into M&E Plan development and leading integration of learnings into ASI's *educationAl* program for members and auditors
- Supporting the M&E activities are:
    - o Carolyn Muscat, elemental Manager – development of the online assurance platform, *elementAl*, which includes M&E data collection functionalities
    - o Thad Mermer, Communications Manager – communication of the M&E program development, progress and findings
    - o Michelle Freesz, Administration Manager – data collection and aggregation for some program-level indicators.
- All staff have relevant and complementary professional backgrounds for these roles. A brief bio for each staff member can be found at: https://aluminium-stewardship.org/contact/
- In the 2018 budget, M&E activities are integrated in staff time allocations and constitute 10-15% of team activities. From the 2019 budget onwards, the M&E program will have a separate operating expenditure line in the ASI budget.

Cooperation and Coordination

- In 2016, ASI signed a MoU with the International Aluminium Institute (IAI) on collaboration on data collection, modelling and analysis. IAI has been collecting data on key issues including greenhouse gas emissions, energy use, wastes and regional and global production figures for over 30 years. They have also developed a global mass flow model and are collaborating with ASI to track ASI material within this model, once sufficient volumes can be tracked under the ASI Chain of Custody Standard.
- ASI is also developing similar cooperative models with other organisations, including the Responsible Business Alliance, as well as research partnerships with universities through studies on interoperability and governance participation commissioned by GIZ.
- In addition, ASI responds as much as possible to information requests from researchers, organisations and institutions carrying out benchmarking and other research into standards like ASI. This includes students at the PhD and Masters level.

Key Stakeholders for M&E

- There are a broad range of stakeholders interested in ASI's M&E program, which largely (but not completely) overlap with stakeholders for ASI Standards Setting processes.
- For both Standards Setting and M&E/Impacts, key stakeholders include:
    - o ASI Members in every membership class (Production and Transformation, Industrial Users, Downstream Supporters, Civil Society, Associations and General Supporters)
    - o Indigenous Peoples, including through the Indigenous Peoples Advisory Forum
    - o Other users, producers and recyclers of aluminium
    - o Other civil society organisations, associations and technical experts
    - o Aluminium traders and market analysts
    - o Small businesses
    - o Governments and regulators
    - o All stakeholders with an interest in the aluminium value chain.
- In addition, for the M&E/Impacts program, other key stakeholders are:
    - o The ISEAL Alliance and its members
    - o Other standards systems and sustainability initiatives
    - o Academic and research organisations and individuals
    - o Benchmarking and reporting initiatives

Defining the Intended Change

- As illustrated in the ASI Theory of Change (page 1) and described in the M&E Plan:
  - The intended long-term social, environmental or economic impacts are:
    - **Standards**: Sustainability and human rights principles are increasingly embedded in aluminium production, use and recycling. Key outcome areas are:
      - Reduced climate change impact
      - Enhanced waste management of upstream processing residues
      - Enhanced biodiversity management
      - Practices that implement business' responsibility to respect human rights
      - Increased material stewardship by all actors in the aluminium value chain.
    - **Uptake**: Companies increasingly invest in and reward improved practices and responsible sourcing for aluminium.
    - **Reputation**: Aluminium continues to improve its sustainability credentials with stakeholders.
  - The expected short and medium term outcomes are shown in the middle boxes of the Theory of Change, and set out in the M&E Plan with specific indicators and comments on data collection. Indicators that overlap with ISEAL Common Core Indicators are flagged.
  - The organisation's strategies are captured in detail in the ASI Strategic Plan and are in four main categories:
    - Effective governance
    - Credible program
    - Growing membership
    - Financial resilience
- The ASI Risk Assessment and Strategic Plans identify some of the key external factors that will influence achievement of intended impacts and outcomes. This will continue to be reviewed and further developed as the M&E program matures.
- The ASI M&E Plan does not currently encompass possible unintended effects of ASI's activities. It is anticipated that these aspects will be further developed through internal and external consultations in 2019/2020.

Data Management

- ASI has a strong commitment to integrated IT systems. For the certification process, ASI has developed its own customised assurance platform called *elementAl*, which is housed on a SAAS platform called Knack. It collects some M&E data through the audit process and some through annual surveys (planned) through this platform. Further development of ASI's M&E data management approaches will take place in this platform as the M&E system matures.
- Each ASI member company has its own firewalled account on *elementAl*, with multiple internal user access. The ASI Secretariat has access to aggregate data to enable analysis.
- Simple data visualization and reporting tools can be integrated into *elementAl,* and data can also be exported for more complex analyses eg multi-variable.
- ASI also stores general CRM data from the member application process on the SAAS platform, Insightly, some of which will be relevant for M&E indicators. Similar to *elementAl,* aggregate data can be exported for analysis and reporting purposes for specific variables.
- The ASI Antitrust Compliance Policy applies to the access, analysis and publication of all data: https://aluminium-stewardship.org/download/64115/
- ASI Confidentiality, Privacy and elementAl Users Policies are also relevant. See https://aluminium-stewardship.org/about-asi/legal-finance-policies/ for copies of these policies.

Performance Monitoring and Outcome/Impact Evaluation

- The planned data collection and evaluations are identified in the M&E Plan. Indicators that overlap with ISEAL Common Core Indicators are flagged.

- Some data is collected when companies join ASI, other data will be collected through each audit process, and other data will be collected and/or updated annually eg via surveys and commissioned studies.
- Apart from data that is 'automatically' collected through membership applications and the audit process, formal data collection under the M&E program has not yet commenced. It is anticipated that this will get underway in earnest during 2019/2020, once a critical mass of certifications have been issued.
- Likewise, no formal outcome or impact evaluations have yet been commissioned or conducted by ASI. ASI is not aware of any outcome or impact evaluations published by third parties, as they would be subject to the same data limitations related to the early stage of ASI's implementation.
- It is ASI's intention to prepare and publish annual Impacts Reports from 2020, drawing on the analyses against the identified indicators in the ASI M&E Plan.

Improving the Effectiveness of the M&E system

- Learning and improving is a core objective of ASI's M&E program. It is anticipated that both the process of rolling out the M&E Plan, and reviewing and reflecting on its findings, will yield valuable insights to all relevant parts of ASI's activities.
- From past experience, these are anticipated to include the nature and wording of Standards requirements, the assurance model, the relevant data and indicators to assess impacts, the training and capacity building provided to companies, auditors and stakeholders by ASI and others, and learning opportunities for the ASI Secretariat, Working Groups, Committees and the Board which will feed into broader strategies and plans.
- For example, the ASI Board currently conducts an annual governance survey with members to seek feedback on performance through the year and identify opportunities for improvement. The results are discussed by the ASI Board and Governance Committee, relevant actions identified, and a summary report shared with members that includes these as well as a report on completed actions from the previous year. The M&E program will adopt similar principles for internal learning and improvement.
- In addition, ASI will publish annual reports on its M&E activities and analyses, and seek input from stakeholders internal and external to ASI on how to maximize the learning and improvement opportunities.

Publicly Available Information about the M&E System

- See the ASI Theory of Change web page (https://aluminium-stewardship.org/why-aluminium/theory-of-change/) for information about:
  - ASI's Theory of Change
  - The latest draft of the ASI M&E Plan
  - The latest version of this System Report
  - How to contact ASI to discuss M&E
- Opportunities for stakeholder engagement and input are advised through the monthly ASI newsletter. To opt-in to the newsletter, sign up at: https://aluminium-stewardship.org/stay-informed/
- We welcome your input into the development of ASI's M&E Program! Contact us at info@aluminium-stewardship.org