

Introducing the Aluminium Stewardship Initiative 铝业管理倡议

Dr Fiona Solomon, CEO, ASI



ASI – a brief history 简要历史

2009 Multi-stakeholder group on ‘responsible aluminium’ 多利益相关方组成小组致力于“负责任生产”

2010 Report recommending third-party certification system 建议开发第三方认证体系



2011 Agreement to develop ASI work program 一致同意开发ASI工作程序

2012 IUCN appointed as coordinator for multi-stakeholder standards-setting
世界自然联盟被多利益相关方指定为协调方，开始标准制定

2014 ASI Performance Standard V1 published ASI绩效标准第一版完成

2015 ASI incorporated and governance models developed ASI组建实体和管治模式被确定

2016 First AGM, Constitution adopted, certification model in development
第一次会员大会，通过章程，开发认证模式

2017 Launched full ASI certification program in December 发布完整的认证方案和文件

ASI Vision and Mission 愿景和使命

Vision 愿景

To maximise the contribution of aluminium to a sustainable society.

推动实现铝对可持续社会贡献的最大化。

Mission 使命

To recognise and collaboratively foster responsible production, sourcing and stewardship of aluminium.

共同促进铝的负责任生产、采购和企业治理。



Current ASI Members 目前会员 (63 in June 2018)



Role of sustainability standards and assurance

可持续性标准和保证的作用

Increasingly prevalent in wide range of sectors and issues

正在很多行业和不同议题逐步推进实施：

- **Agriculture:** eg forestry, fisheries, tea/coffee/cocoa
农业：森林，渔业，茶叶/咖啡/可可
- **Mining:** eg EITI, Voluntary Principles, Global Reporting Initiative
矿业：如《采掘业透明度行动计划》，志愿原则倡议，全球报告倡议等。
- **Gold:** eg Responsible Jewellery Council, OECD Due Diligence Guidance
黄金：如负责任珠宝理事会、经合组织尽职调查指南
- **Design/sourcing:** eg Green building certifications
- **设计/采购** 如绿色建筑认证

Role of sustainability standards and assurance

可持续性标准和保证的作用

What standards and certification programs aim to do:

这些标准和认证项目的目标是：

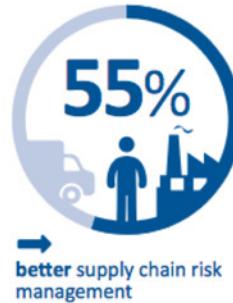
- Help companies attain their social and environmental objectives
帮助公司实现其社会和环境目标
- Build multi-stakeholder consensus on what are responsible practices
就什么是负责任的实践的议题，建立多方利益攸关方共识
- Provide independent assurance of systems and performance
为体系和绩效提供独立的保证
- Support relevant regulatory and compliance requirements 支持相关的监管和合规要求
- Reduce duplication of effort and costs through standardisation 通过标准化减少重复工作和费用
- Support responsible sourcing and help to “de-risk” supply chains
支持负责任的采购，并帮助建立"低风险"的供应链
- Create market drivers for change 为变革创造市场动力

40

studies analysed to identify what benefits businesses gain from using sustainability standards and the related influential factors across four sectors: agriculture, fisheries, mining and forestry.

% refers to proportion of studies reporting a benefit.

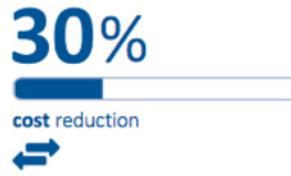
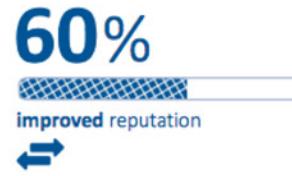
Realised short term benefits



improved access to finance



Realised long term benefits



Upstream businesses represent raw material extraction or product production, including large-scale producers, smallholder producer groups and primary processors in the country of origin.

Downstream businesses include importers, processors, manufacturers, brand and retail companies in manufacturing and consumer countries.

Business case in numbers

取得可持续性标准认证的益处——商业案例调查结果

短期获益:

- Premiums 溢价
- Risk management 风险管理
- Access to finance 融资
- Business operations 业务运行
- Market access 市场扩大

长期获益:

- Profitability, reputation, cost reduction
盈利性改善，声誉提高，成本降低

Source: ISEAL Alliance 2017

What ASI members say会员观点

We have spent decades at EGA continuously improving to build a business that is financially, environmentally and socially sustainable. Joining ASI will help us on the next stage of this journey, and we hope to share some of what we have learned along the way with our industry.

- Abdulla Kalban, Manager Director and CEO

Our mission is to leave the world better than we found it, and that extends to our commitment to protecting the environment by conserving precious resources. Partnering with the Aluminium Stewardship Initiative is a critical step in our efforts to source aluminium responsibly and advance the transition to cleaner sources across the entire industry.

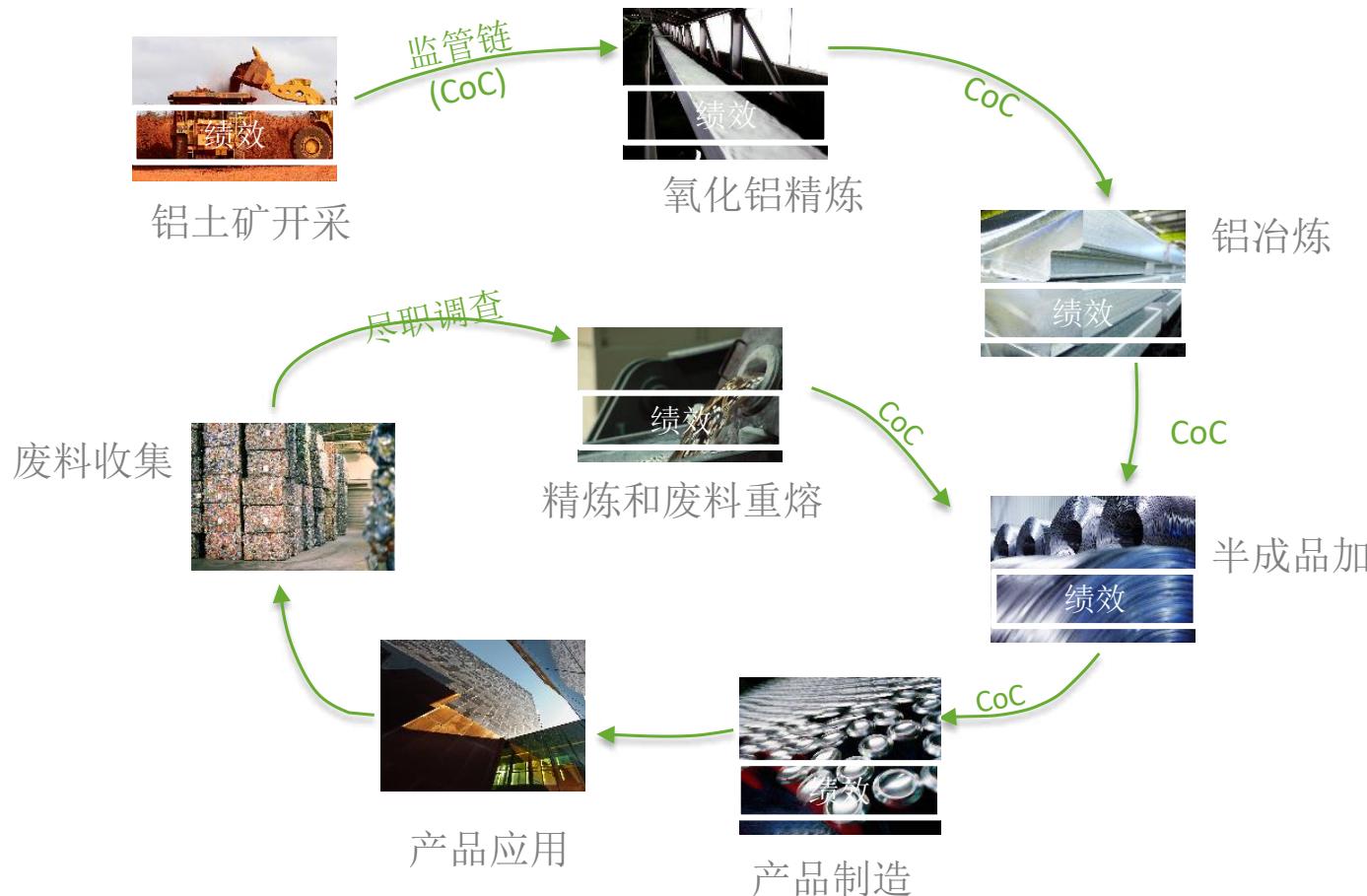
Lisa Jackson, Apple's vice president of Environment, Policy and Social Initiatives

EGA阿联酋环球铝业：我们一直致力于经济性、环境友好型和社会可持续性发展，加入ASI有助于我们在此历程中迈向新阶段。我们希望能与业界同行分享经验，不断学习。

苹果公司：我们的使命是传承更加美好的世界。我们承诺保护环境保护珍贵的资源。加入ASI成为伙伴关系是我们在铝的负责任采购方面迈出的重要一步。有助于实现负责任采购，并提前完成向产业链清洁采购的转变。



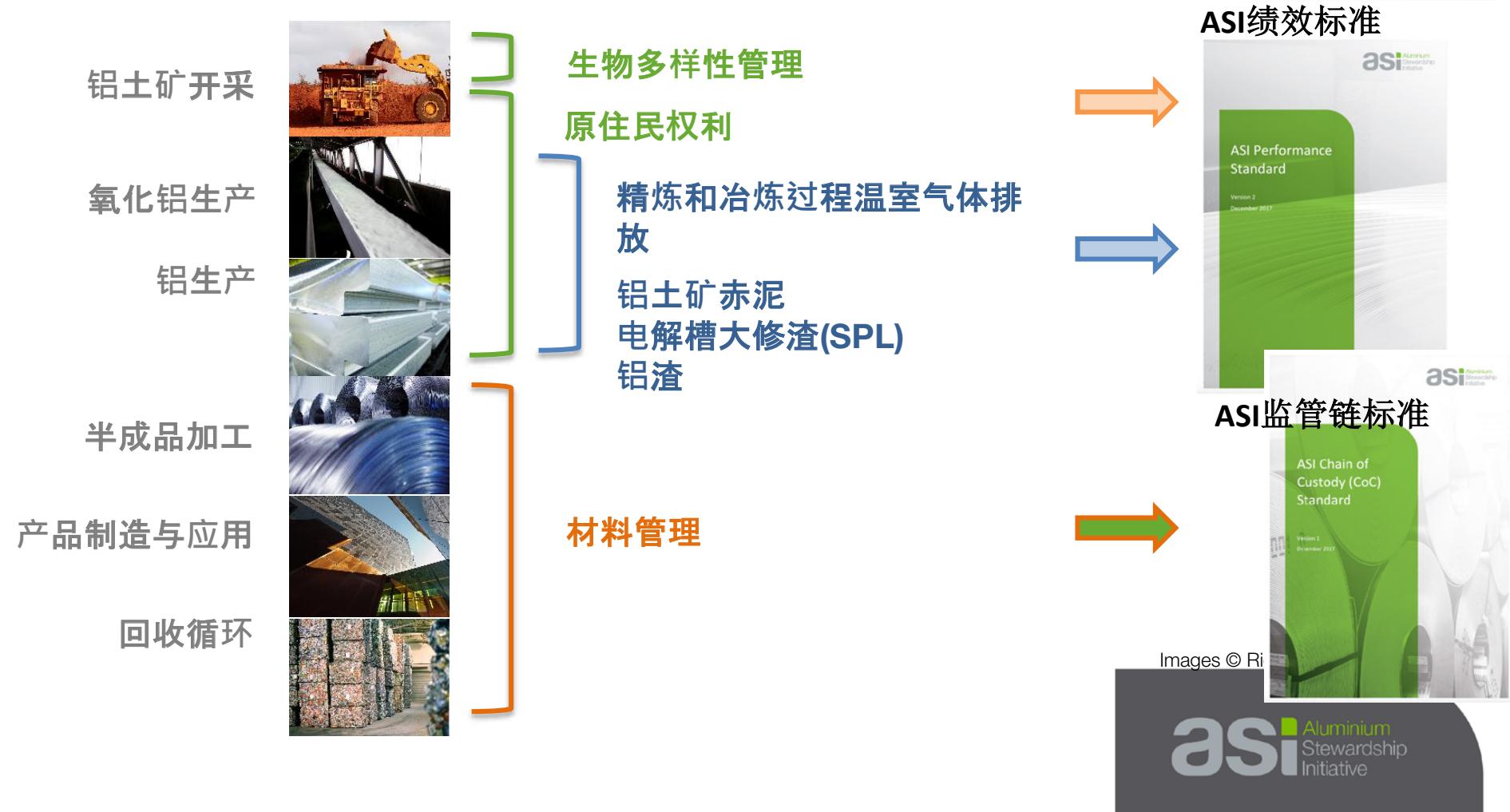
铝价值链 the aluminium value chain



- 特定供应链活动有适用的绩效标准准则。
- 建立在材料质量平衡或信用模型基础上的监管链标准CoC。
- 标准采用价值链的方法。

Images © Rio Tinto, Novelis and Rexam

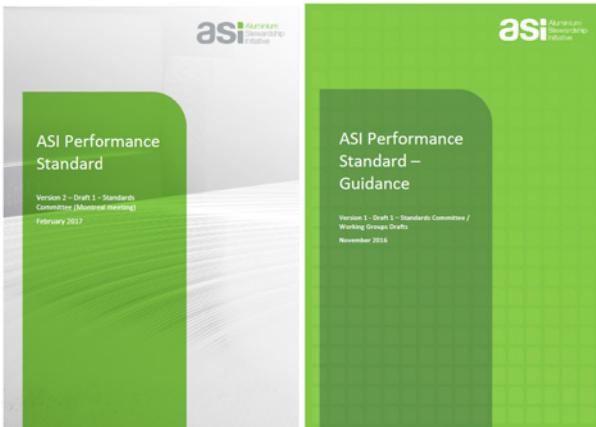
ASI标准的优先议题 Priority issues for ASI



ASI规范性文件 ASI normative documents

绩效标准

Performance Standard



监管链标准

Chain of Custody Standard



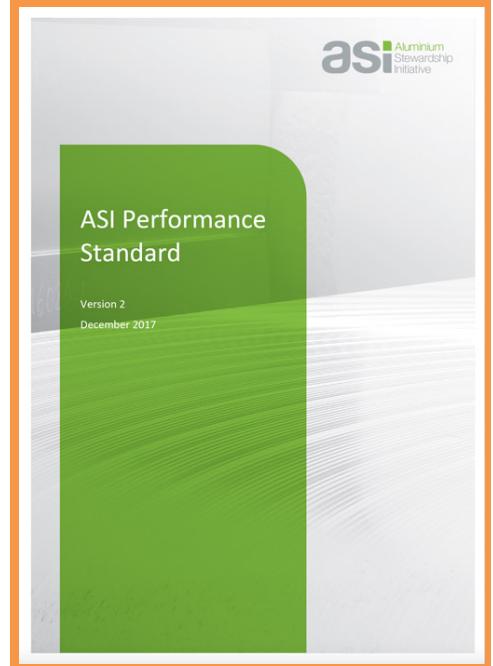
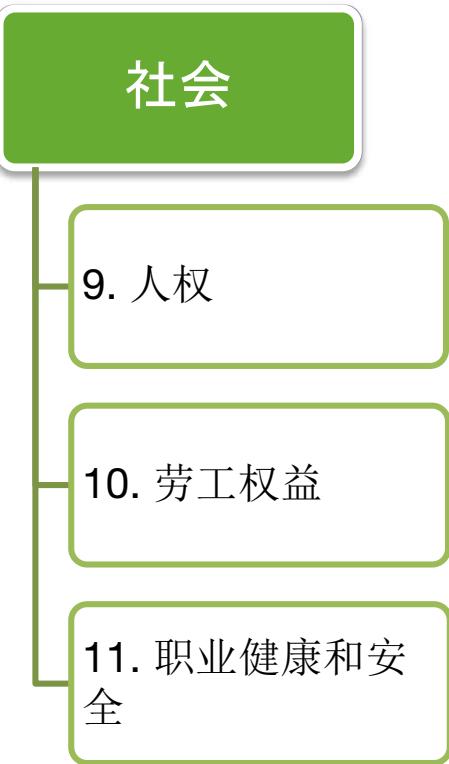
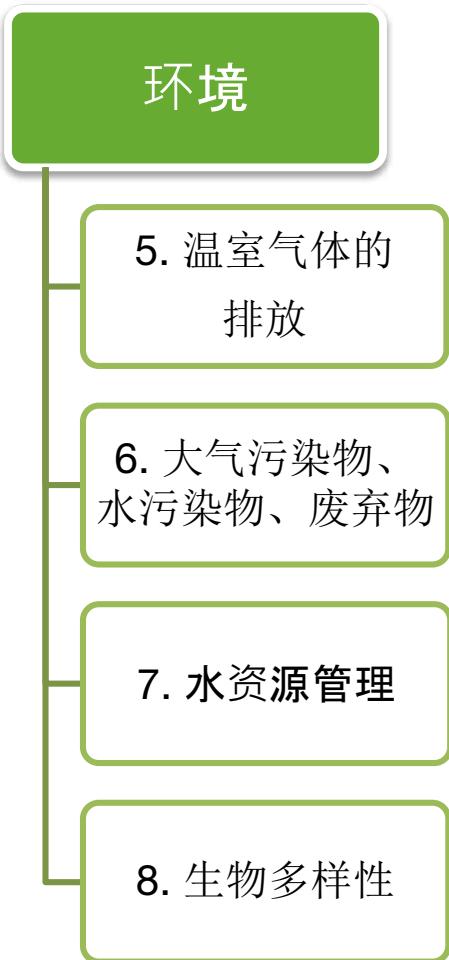
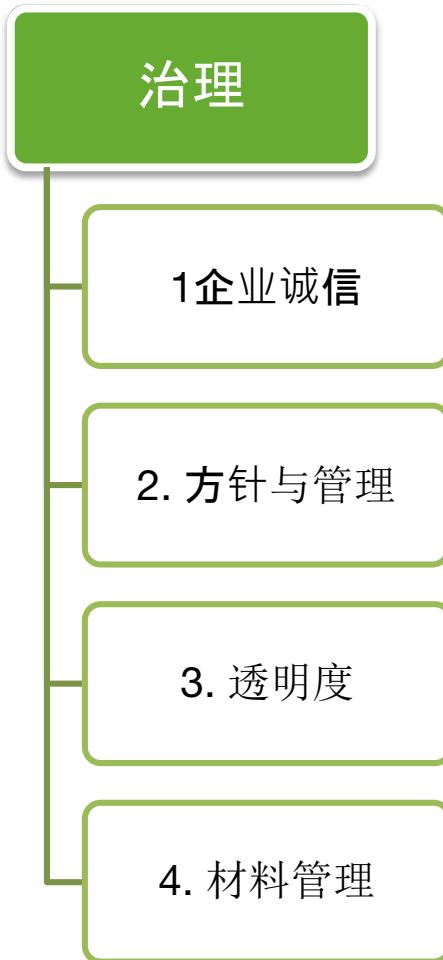
保证手册

Assurance and Claims



声明指南

绩效标准:概述



绩效标准:共59个议题

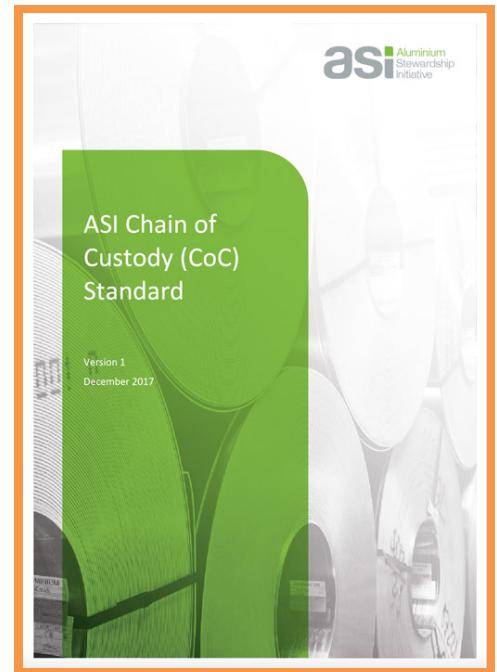
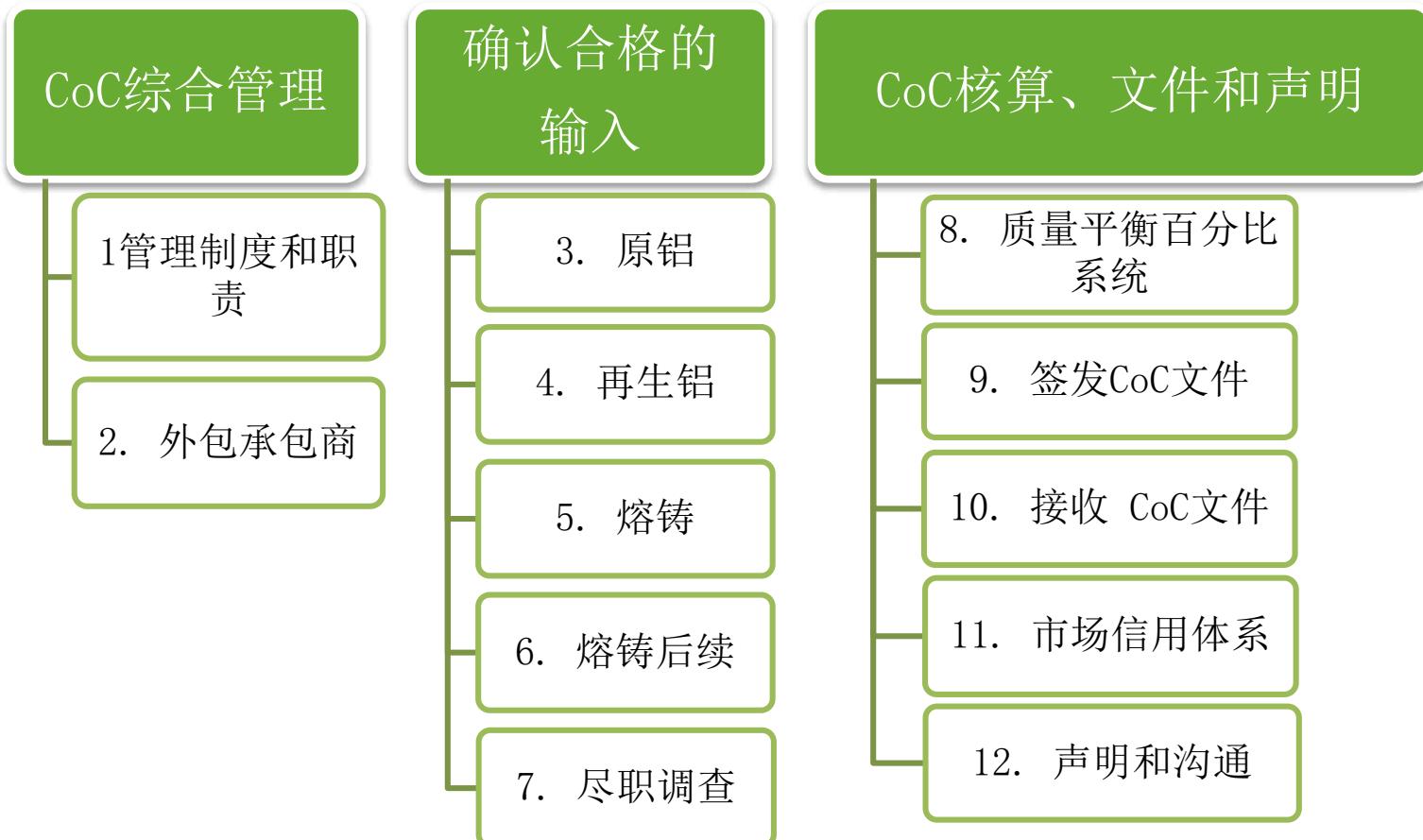
治理: 19	环境: 19	社会: 21
<ul style="list-style-type: none">遵守法律反腐败行为准则环境、社会和治理方针领导环境和社会管理体系负责任采购应急反应预案兼并和收购关闭、退役和撤资影响评估可持续发展报告不符合和负债支付给政府利益相关方的抱怨、不满和要求提供信息环境生命周期评估产品设计铝的工艺废料报废产品的回收和循环利用	<ul style="list-style-type: none">披露温室气体排放和能源使用情况。温室气体减排铝冶炼大气污染物排放水污染物排放泄漏和泄漏的评估和管理。泄漏的报告废物管理和报告铝土矿赤泥电解槽大修渣(SPL)铝渣水的评估水资源管理水使用和风险的披露。生物多样性评估生物多样性管理外来物种承诺“禁入”世界遗产地矿山修复	<ul style="list-style-type: none">人权尽职调查妇女权益原住民自主、事先和知情同意(FPIC)文化遗址和宗教圣地重新安置当地社区受冲突影响和高风险地区安保实践结社自由和集体谈判权利童工强迫性劳动非歧视沟通和参与惩戒性措施报酬劳动时间职业健康与安全方针职业健康安全管理体系职业健康与安全绩效

ASI 监管链(CoC)标准

- ASI进一步的总体目标是通过全球价值链增加对ASI铝的供应和需求，从而为铝的负责任生产、负责任采购和管理提供独立的保证。
- 通过实施ASI的CoC标准，使得ASI绩效标准下的供应链与ASI实体生产的产品之间建立了联系。



CoC 监管链标准:概述



CoC材料是如下的统称...



ASI规范性文件 ASI normative documents

ASI如何开发和确定标准、保证以及 M & E

ASI标准-参与铝价值链的要求为何

保证-如何评估一致性和管理认证

谁实施审核？行为是否得体？

会员如何声明？ASI认证是否有影响？

管理手册

绩效标准

保证手册

审核员认证程序

声明指南

标准制定程序

指南-绩效标准

ASI保证平台（在线）

审核员监督程序

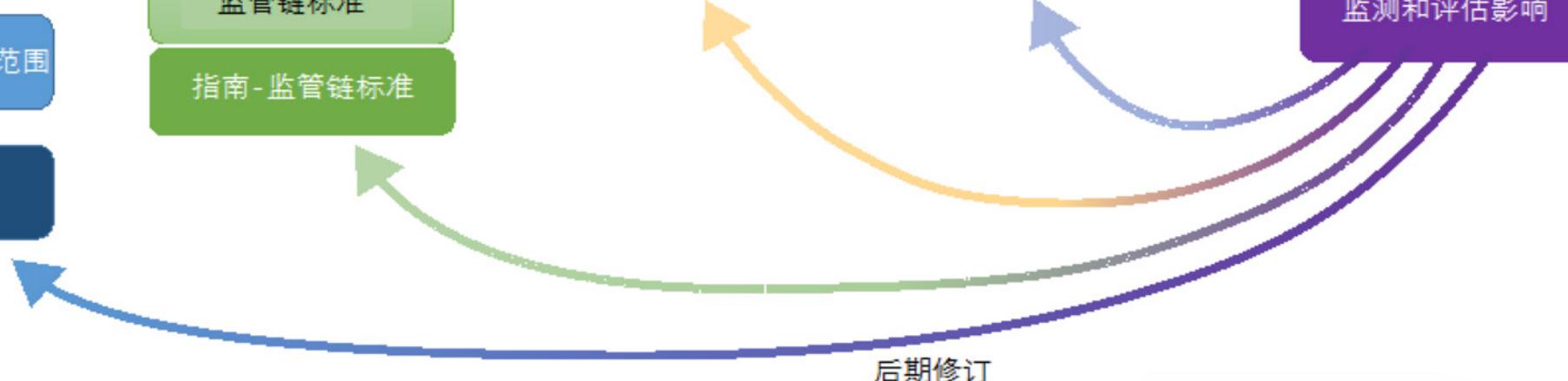
工作组的职权范围

监管链标准

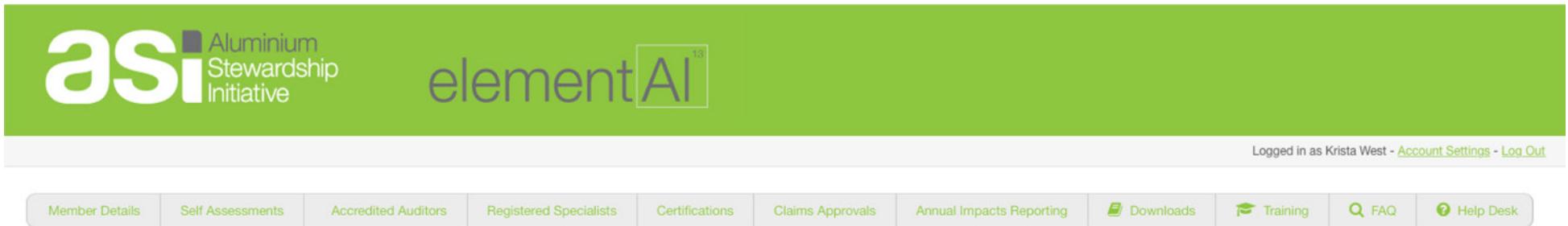
监测和评估影响

指南-监管链标准

投诉机制



ASI保证平台ASI Assurance Platform - elementAI



The screenshot shows the ASI Assurance Platform - elementAI dashboard. At the top left is the ASI logo with the text "Aluminium Stewardship Initiative". To its right is the "elementAI" logo. On the far right of the header, it says "Logged in as Krista West - Account Settings - Log Out". Below the header is a navigation menu with the following items: Member Details, Self Assessments, Accredited Auditors, Registered Specialists, Certifications, Claims Approvals, Annual Impacts Reporting, Downloads, Training, FAQ, and Help Desk. The "Downloads" item has a small icon of a document, "Training" has a graduation cap icon, "FAQ" has a magnifying glass icon, and "Help Desk" has a question mark icon.

Welcome to the ASI Member Dashboard

elementAI is the name of ASI's Assurance Platform. It is the entry point to a wide range of resources to support the ASI Certification process.

Use the menu above to navigate around, and view and enter information. You can ask questions via the Help Desk tab, and access a list of available resources under the 'Downloads' and 'Training and FAQs' tabs.

For confidentiality and security reasons, all Members, Auditors and Guests have restricted access to only their own data. All information that you submit will be saved at each step and you can come back and edit at any time.

To get started, click on the **Self Assessment** link to start the process for ASI Certification. During the pilot period, the process will not result in ASI Certification but all feedback received will be reviewed to help finalise the system design. Data entered now will be still be available for you in 2018 when the ASI program has been formally launched.

Latest System Announcements

See the 5 most recent system announcements below, and scroll down to access a full list of all system announcements.

[add filters](#)

System Announcement Name Pilot Update for Internet Explorer - refresh/reload required

Announcement Detail We have made an update to elementAI today. This relates to using Internet Explorer to access the Self Assessments page.

To ensure you have this update, please refresh/reload once after you login. To do this, right mouse click on any page and select refresh/reload (depending on your browser). The new update will then be available.

Announcement Date/Time 05/09/2017 20:45

[view](#)

Summary小结

- ASI is a global multi-stakeholder initiative focused on sustainability issues
ASI是一个全球性的多利益相关方的倡议，聚焦铝业的可持续发展。
 - New members are always welcome, from all parts of the aluminium value chain
欢迎铝价值链参与者加入ASI成为新会员。
 - ASI has two standards – Performance Standard and Chain of Custody Standard
ASI的核心是两个标准的认证——绩效标准和监管链标准。
 - Certification against these standards provides third party assurance to customers
通过这两个标准的认证就等于为客户提供了第三方的保证。
 - ASI provides support to members on their certification journey, including through an online assurance platform – elementAI
ASI为会员的认证过程提供支持，包括在线保证平台——铝元素。
-
- Through their collective efforts, ASI members enhance the contributions of aluminium to a more sustainable world
通过大家协同一致的努力，ASI会员将为更加可持续性的社会做出贡献。



Dr Fiona Solomon
ASI Chief Executive Officer
fiona@aluminium-stewardship.org

ASI Website
www.aluminium-stewardship.org

Join the ASI mailing list
<http://aluminium-stewardship.org/mailing-list/>

