

ASI Registered Specialist Procedure

Version 2 – 7 August 2019

1. PURPOSE

This procedure describes the process and requirements for processing applications from a Technical Expert that wishes to become an ASI Registered Specialist.

2. SCOPE AND APPLICATION

This procedure applies to Technical Experts that wish to be formally registered as ASI Registered Specialists for their specific knowledge or expertise that can support implementation and/or assessment of ASI Standards.

Registered Specialists may be commissioned by a:

- Member (or an Entity) to support the development and/or implementation of the Entity’s systems and processes required by the ASI Standards; or
- An Audit Team to advise the Lead Auditor and Individual Auditors regarding the planning, execution and/or follow-up activities for an ASI Audit.

Note:

- A Registered Specialist currently offering Consultancy or that has offered Consultancy in the last two years to a Member (or an Entity) as it relates to the Members self assessment or in the development of a Member’s (or an Entity’s) systems to conform to requirements in the ASI Standard, cannot be part of that Member’s Audit team, as this represents a conflict of interest.
- The use of a Registered Specialist is not an ASI requirement, nor is their use in any way a guarantee of a successful ASI Audit outcome.
- A Registered Specialist cannot be employed by a Member (except for Civil Society Organisation or General Supporter membership classes) or an ASI Accredited Auditor (whether permanent full time, part time or casual as an employee or a contractor but excluding consultancy engagement terms).

3. DEFINITIONS

| Term | Definition |
|----------------------|---|
| ASI Standards | ASI Performance Standard and ASI Chain of Custody Standard. |
| Audit Team | One or more Individual Auditors conducting an ASI Audit, supported if needed by Technical Experts. |
| Consultancy | Participation in designing, implementing, operating and/or maintaining management systems, products or services as they relate to the Members Certification Scope. |
| Member | An entity or group of entities that is a current member of one of ASI’s six membership classes: <ul style="list-style-type: none"> • Production and Transformation (eligible for ASI Certification) • Industrial Users (eligible for ASI Certification) • Civil Society • Downstream Supporters • Associations |

| Term | Definition |
|------------------------------|---|
| | <ul style="list-style-type: none"> General Supporters |
| Registered Specialist | <p>A person registered by ASI as being a Technical Expert that can support the implementation or assessment of ASI Standards. Registered Specialists may be used by Members and Auditors.</p> <p>Note: a Registered Specialist currently offering Consultancy or having offered Consultancy in the last two years to a Member as it relates to the Members self assessment or in the development of a Member's systems to conform to requirements in the ASI Standard, cannot be part of that Member's Audit team, as this represents a conflict of interest.</p> |
| Technical Expert | A person who can provides specific knowledge or expertise relevant to ASI Standards. |

4. REFERENCES

- ASI Registered Specialist Form
- ASI Performance Standard
- ASI Chain of Custody Standard
- ASI Complaints Mechanism

5. PROCEDURE

There are five main stages applied to the ASI Registered Specialist processes illustrated in Figure 1:



Figure 1 ASI Registered Specialist

5.1. Application

1. A Technical Expert that wishes to apply to be registered as an ASI Registered Specialist must complete the ASI Registered Specialist Form (the 'Form') available from the ASI Website.
2. All relevant fields in the Form must be completed and supported with the minimum required documentary evidence as per Table 1. *Documentation including supporting evidence should be provided electronically wherever possible.*
3. The Form can be used for initial applications to become a Registered Specialist or to update the specific knowledge or expertise of an existing Registered Specialist.
4. Completed and signed Forms must be submitted to:
 - Electronically (preferred) via email to info@aluminium-stewardship.org
 - Or
 - By mail: Aluminium Stewardship Initiative, PO Box 4061, Balwyn East, Australia 3103

Table 1 ASI Registered Specialist Application Form Overview

| Part | General Description of Requirements | Minimum Evidence |
|--|---|---|
| 1 General information | Technical Expert's: <ul style="list-style-type: none"> • Name • Location • Contact details. | Official or formal documentation with: <ul style="list-style-type: none"> • Name • Location • Contact details. |
| 2 Specific knowledge or expertise | Nature of specific knowledge and/or area of expertise. This may include experience in: <ul style="list-style-type: none"> • Management systems for governance, environmental and/or social aspects • Chain of custody management systems • Specific expertise in risk areas such as: <ul style="list-style-type: none"> ○ Anti-bribery and corruption ○ Working in Conflict Affected Areas and High Risk Areas ○ Biodiversity management ○ Mine rehabilitation ○ Bauxite residue management ○ Indigenous Peoples Rights including Free Prior and Informed Consent ○ Aluminium Smelting and Casthouse hazardous waste management (e.g. spent pot lining, dross, etc.) ○ Greenhouse gas emissions (e.g. inventories, accounting, reporting, etc.) ○ Human rights due diligence ○ Labour rights ○ Material stewardship and Recycling (e.g. life cycle analysis and sustainability in product design, manufacture and recycling) • Knowledge of relevant laws and regulations and their governing agencies • Other relevant information to support the application including language fluency. | <ul style="list-style-type: none"> • Official or formal resume/CV noting: <ul style="list-style-type: none"> ○ Qualifications, competency and training evidence (e.g. training certificates, qualification statements, licences, etc.) ○ Examples of nominated specific knowledge and/or area of expertise. • References and/or names and contact details of referees to support the nominated specific knowledge and/or area of expertise |
| 3 Declaration | Signed declaration of eligibility, independence and qualifications for ASI Registered Specialist. | <ul style="list-style-type: none"> • Signature from applicant |

5. ASI will acknowledge receipt of the Form.
6. Unless otherwise noted on the Form, information submitted by the applicant in respect of becoming an ASI Registered Specialist will be kept confidential in accordance with the ASI Privacy Policy and will be used solely for the purposes of assessing the applicant's application to become an ASI Registered Specialist.

- *Note that once the application is approved, the information noted in step 10, below, will be published on the ASI website.*

5.2. Assessment and Review

7. ASI will review the application including supporting documentation for completeness. Where gaps are identified or clarification required, these will be communicated for follow-up by the applicant before the assessment can continue. This step will typically be conducted within 14 days of receiving the application.
8. Once all required information has been received, the application and supporting information will be assessed and reviewed. This process would normally take place over a 2-4 week period, allowing for contacts with referees where required.

5.3. Training

9. Applicants will be required to undergo mandatory initial training and periodic refresher training offered by ASI that covers an overview of (but not limited to):
 - ASI Standards
 - ASI Assurance and Certification processes
 - Risks and sector specific issues for the relevant aluminium supply chain.
10. Training can be completed at a scheduled in-person session as noted on the ASI website, or at any time via the ASI educational on-line platform, accessible via the ASI website.
11. Initial training must be complete before the application to become an ASI Registered Specialist can be approved.
 - *Note that Registered Specialist approved prior to the release of Version 2 of this Procedure will be required to complete the training outlined in section 5.3.*
 - *The ASI Secretariat will contact these Registered Specialists and coordinate the necessary training to be completed within 6 months of the communication of the new procedure on 7 August 2019.*
 - *Participation in an in-person training session, or the online equivalent, at any time in the previous 3 years (from the communication of the new procedure on 7 August 2019) will be counted as meeting the Registered Specialist training requirement.*
12. Refresher training will be required at least every five years, or sooner where triggered by a standards revision and/or the need to meet particular requirements, as determined by the ASI Secretariat.
13. Training shall address the following minimum learning objectives:
 - Understanding the roles and expectations of ASI Registered Specialists
 - Understanding the goals and applying the principles of the ASI Certification program
 - Understanding the ASI guidance, tools and resources available to support this process
14. ASI Registered Specialists will need to demonstrate understanding of the learning objectives in the training through formal assessment or by other means as determined by the ASI Secretariat.
 - Generally, all applicants will be required to complete a written exam that includes both multiple choice and written answer questions, designed to test whether the learning objectives have been achieved.
15. A confirmed passing grade of 75% must be achieved on the written exam for the applicant to be formally approved as an ASI Registered Specialist.

16. ASI will provide access to training material and supporting documents.
17. ASI recognises the risks of collaboration or cheating in exam situations. Mitigation measures will include:
 - Requiring photo identification to be presented to confirm the identity of the individual taking the exam.
 - A clear statement of the serious consequences of collaborating or cheating on the exam, included in training slides introducing the exam process and on the front page of the exam paper itself.
 - Regularly changing the content and order of exam questions for any given exam session.
 - Wherever possible, running in-person sessions over more than one day to enable additional time for individual exam preparations and reduce the pressure participants may feel, leading them to think that recourse to collaboration or cheating is needed to pass.
 - For in-person training, having the ASI Secretariat representative performing an invigilation role during the exam process.
 - For on-line training, using an external proctoring service to oversee the exam process.
18. Registered Specialists are permitted unlimited attempts at the exam with a waiting period of 24 hours between attempts.
19. Training may incur fees as follows:
 - Fees for in-Person training will be noted as part of the schedule posted on the ASI website.
 - Access to the on-line training platform will be provided free of charge
 - On-line exam is hosted on a live online proctoring service. This service will be available 24 hours a day / 7 days a week from anywhere in the world. You will need to register and schedule your proctoring session at least 72 hours in advance to avoid any on-demand scheduling fees. The normal fee (payable to the on-line proctoring service provider and not ASI) for each exam attempt is US\$32 (subject to change by the service provider). A higher fee is payable for on demand exams.

5.4. Decision and Publication

20. Upon completion of the assessment and review of the application, the ASI Secretariat will make a decision regarding the applicant's request to become a Registered Specialist and notify the applicant of its decision.
21. If the applicant is successful, the following information relating to the Registered Specialist will be posted on the ASI website:
 - Name
 - Title (optional)
 - Location
 - Contact details - telephone number, email and/or Skype
 - Summary of specific knowledge or expertise (no more than 200 words) in English as written by the applicant. Note that the ASI Secretariat reserves the right to edit the summary for clarity and conciseness.
22. The ASI Registered Specialist status will continue subject to:
 - applicant's withdrawal (ASI to be formally notified in writing)
 - review and approval of changes (see section 5.4)
 - outcomes of an ASI Complaints Mechanism process

- other confirmed evidence that shows that applicant actions have materially affected the integrity of ASI, its Members, Accredited Auditors or the ASI certification program in general.
23. An ASI Registered Specialist may be suspended or have their recognition revoked if the actions by the ASI Registered Specialist:
- brings or has the potential to bring the credibility of ASI and/or its Members or Auditors into disrepute;
 - materially affects the integrity of ASI, its Members, Accredited Auditors or the ASI certification program in general; or
 - invokes the ASI Complaints Mechanism which results in recommended action to suspend or revoke the Registered Specialist’s recognition.
24. Applicants and ASI Registered Specialists have access to the ASI Complaints Mechanism and associated appeal processes.

5.5. Periodic Changes

25. The ASI Registered Specialist must inform the ASI Secretariat of any material changes that may affect their registration status, including changes in employment, contact information, or availability. This information should be submitted via the ASI Registered Specialist Form, or by email to the ASI Secretariat.
26. Changes will be reviewed in accordance with the steps outlined in section 5.2 Assessment and Review and 5.3 Decision and publication of this procedure, and the ASI website information (as indicated in section 10) updated accordingly.

6. RECORDS

Records of applications and supporting information will be securely maintained by the ASI Secretariat for 5 years after the expiration of the Registered Specialist status.

7. DOCUMENT CONTROL

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Please refer to the ASI Website for the latest version of this procedure.