

ASI Auditor Competence and Assessment Procedure

Version 2 – April 2020

1. PURPOSE

This procedure describes ASI’s requirements and processes to ensure the competency of assurance providers.

The procedure is designed and operated to align with the principles in the [ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards](#). Relevant clauses in the Code include:

- 5.4.6 regarding setting scheme-specific competence requirements for assurance providers
- 5.5.1 regarding personnel competencies
- 5.5.2 regarding building competence
- 5.5.3 regarding auditor calibration
- 5.5.4 regarding evaluation of competency

2. SCOPE AND APPLICATION

This procedure applies to the ASI Secretariat and ASI Accredited Auditors. It aims to ensure that:

- ASI’s scheme-specific competency requirements for assurance providers are clear
- Ongoing processes to build and enhance competence are relevant and appropriate
- Competency evaluation processes address both the desired learning outcomes and key risks
- Issues with auditor competence identified through oversight processes are addressed
- ASI takes a continual improvement approach to auditor competence

This is a supporting procedure for the ASI Oversight Mechanism, under 3: *Competence building and evaluation*.

3. DEFINITIONS

Term	Definition
ASI Accredited Auditing Firm	A Conformity Assessment Body meeting ASI’s objective selection criteria and accredited to carry out ASI Audits.
ASI Accredited Auditor (Auditor)	A qualified person individually accredited by ASI who conducts ASI audits on behalf of and under the responsibility of an ASI Accredited Auditing Firm.
ASI Audit	Systematic, independent and documented process for obtaining and assessing objective evidence to determine the extent to which the requirements for ASI Certification are fulfilled by an ASI Member. Audit types include Certification Audits, Surveillance Audits and Re-Certification Audits. <i>See the ASI Assurance Manual for more information.</i>
ASI Certification	An attestation, based on the results of an ASI Audit by an ASI Accredited Auditor, that the required level of Conformance has been achieved against the applicable ASI Standard and for the documented Certification Scope.
ASI Secretariat	Individuals employed or contracted by ASI to carry out Secretariat functions for the organisation.
ASI Standards	ASI Performance Standard and ASI Chain of Custody Standard.

Term	Definition
Audit Report	Report on the ASI Audit generated by the ASI Accredited Auditing Firm and submitted to the Member and to ASI via the ASI Assurance Platform, <i>elementAL</i> .
Audit Support Personnel	Non-auditing personnel affiliated to an ASI Accredited Auditing Firm, responsible for managing audit engagements, ASI liaison, or other administrative activities to support ASI Audits.
Board	ASI Board as defined in the ASI Constitution.
Certification Scope	The Certification Scope is defined by the Member and sets out what parts of a Business, Facilities and/or Business Activities are covered by an ASI Certification.
Conformity Assessment Body (CAB)	An independent third party organisation that undertakes conformity assessment techniques and activities, including audits.
Lead Auditor	A qualified person responsible for the overall conduct of an ASI Audit and who can lead an Audit Team.
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 • General Supporters

4. REFERENCES

- ASI Assurance Manual
- ASI Auditor Accreditation Procedure
- ASI Accredited Auditing Firm and Accredited Auditor Application Form
- ASI Oversight Mechanism
- ASI Monitoring & Evaluation (M&E) Plan
- ASI Complaints Mechanism
- ASI Audit Report Oversight Assessment Procedure
- ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards
- ISO 19011:2011 Guidelines for auditing management systems
- ISO 17065:2012 Conformity assessment – Requirements for bodies certifying products, processes and services

5. PROCEDURE

5.1. Roles and Responsibilities

1. The table below sets out key roles and responsibilities for Auditor Competence and Assessment:

Role	Responsibilities
Learning Manager	<ul style="list-style-type: none"> • Developing approaches and material for building competence of Auditors • Developing approaches and material to evaluating competence of Auditors

	<ul style="list-style-type: none"> • Developing and reviewing calibration processes and supporting material • Maintaining ASI records associated with this procedure.
elementAl Manager	<ul style="list-style-type: none"> • Effective functioning of the ASI Assurance Platform, elementAl.
Director of Assurance	<ul style="list-style-type: none"> • Setting competence requirements of Auditors in the ASI Auditor Accreditation Procedure • Managing oversight of competence through the ASI Oversight Mechanism.
CEO	<ul style="list-style-type: none"> • Providing appropriate resources for processes to be carried out efficiently and effectively. • Reporting any material issues or significant improvement opportunities to the ASI Board. • Approving new or updated procedures.

2. To contribute to the competence of Auditors within the ASI Certification program, ASI is responsible for scheme-specific competence building and assessment.
3. ASI Secretariat members involved in implementing this Procedure shall gain and/or maintain in-depth knowledge of the ASI Standard/s and intent, and of the ASI Assurance Manual.
4. Where this knowledge is not in place through involvement in ASI standards development, implementation, monitoring and evaluation and/or training delivery, relevant training courses on the ASI program are available through:
<https://asi-educational.thinkific.com/collections>

5.2. Process Overview

5. The core components of the ASI Auditor Competence and Assessment Procedure are illustrated in Figure 1 below.

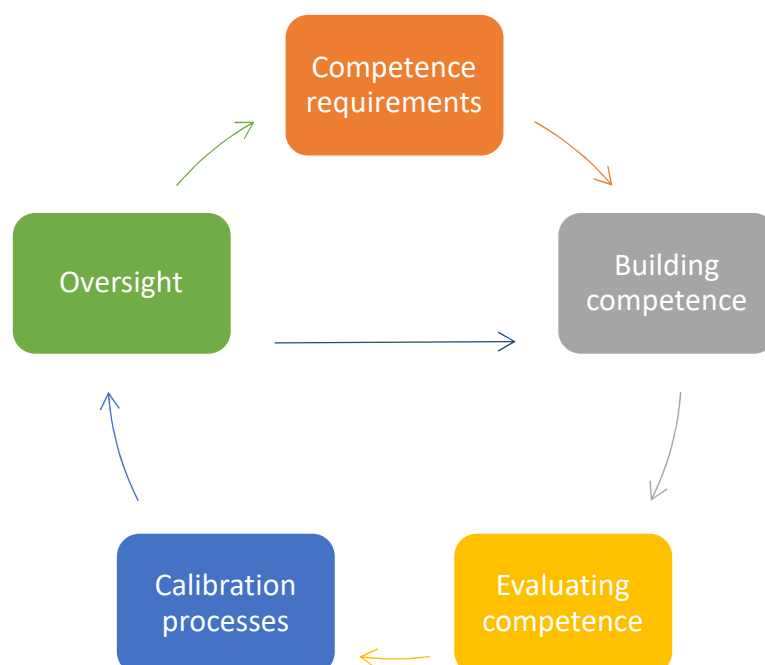


Figure 1 – Core components of ensuring competent implementation of the ASI assurance system

5.3. Competence requirements – ASI Accredited Auditors

6. The ASI Auditor Accreditation Procedure includes the minimum competency requirements for Auditors.
7. This procedure sets out the additional ASI specified initial and ongoing scheme-specific competence building and competence evaluation requirements.
8. Until and unless both requirements are met, Auditors are not eligible to carry out ASI Audits, and will not have access to an *elementAI* account unless they are performing the role of Audit Support Personnel.

5.4. Building competence – Initial Training

9. To build the necessary competence on the ASI Certification program, all ASI Accredited Auditors are required to undergo mandatory initial ASI training and competence assessment.
10. Auditor training forms part of ASI's broader educationAI program structure and is made available online.
11. In-person Auditor training sessions may also be scheduled, taking into account demand, regional needs, available ASI resources and opportunities to align with other events.
 - In-person training will aim to include a strong focus on collaborative group exercises, to foster learning through discussion and application. Dialogue and active participation shall be encouraged.
 - ASI's normative documents and training slides will usually be made available to in-person training participants in advance, to support participants' preparation for the sessions. This may include an exercise that should be completed in advance.
 - Where local training delivery in languages other than English is appropriate, ASI shall seek appropriate translation support and may adopt a 'train the trainer' approach where relevant.
12. Audit Support Personnel are also encouraged to participate in the ASI Auditor training modules but completion of this training is not mandatory.

5.5. Evaluating competence

13. Auditors undergoing ASI training modules will need to demonstrate understanding of the learning objectives in each module through formal assessment.
 - Assessments will include a written exam designed to test whether the learning objectives have been achieved.
14. Instructions for the Individual Auditors' exams are available in 'Fulfilling the requirements to become an ASI Accredited Auditor', that can be accessed at the ASI website here: <https://aluminium-stewardship.org/asi-standards/auditors-and-specialists/>
15. Where a violation of ASI Instructions are identified, the ASI Secretariat may additionally undertake one or more of the following steps:
 - Internal review and report
 - External third-party review
 - Discussion with the CAB
 - Decision on applicable sanctions
 - Notification of the ASI Board
 - Implementation of applicable sanctions
 - Any other necessary actions.
16. Applicable sanctions may include one or more of:

- Stand-down periods before the exam may be re-sat. Costs associated with the re-sit, such as the external proctoring service, will be charged to the Accredited Audit Firm
- Stand-down periods before the Individual Auditor/s may carry out ASI Audits
- Stand-down periods before the Individual Auditor/s may act in the role of a Lead Auditor
- De-accreditation of the Individual Auditor/s
- De-accreditation of the Accredited Auditing Firm
- Notification of other accreditation organizations.

5.6. Ongoing calibration – training

17. Auditor calibration training will be developed to share and learn from implementation experience and support more consistent interpretation and assurance approaches across Auditors.
18. ASI calibration training will include:
 - Relevant changes introduced to the training modules in the preceding period
 - Any other relevant issues or improvement opportunities identified through the channels under 5.8, below.
19. Mandatory calibration training must be completed by Auditors on the schedule set to maintain their eligibility to carry out ASI Audits.
20. Section 5.5 on Evaluating Competence may also apply to calibration training.

5.7. Ongoing calibration – other measures

21. The elementAI platform Help Desk and FAQs in the Auditor Dashboard is also used to respond to Auditor queries on calibration matters and share these with all Auditors.
22. The ASI Secretariat prepares and distributes regular newsletters to Accredited Auditors that will also address calibration topics, including addressing Auditor questions, sharing implementation lessons, and advising of upcoming training, oversight and/or calibration activities.
23. ASI Accredited Auditor newsletters are to be distributed to Auditors and Audit Support Personnel who have a current association with an ASI Accredited Auditing Firm. For the avoidance of doubt:
 - This includes individuals who have not yet completed initial mandatory training.
 - This includes individuals who do not directly carry out audit activities, but have a managerial, administrative or other role with an ASI Accredited Auditing Firm.
 - This includes individuals who have been temporarily suspended from carrying out ASI audits.
 - This does **not** include individuals who belong to a CAB that has not yet been ASI Accredited, or to an organisation not related to an ASI Accredited Auditing Firm, irrespective of ASI training undertaken.
 - Individuals that cease to be associated with an ASI Accredited Auditing Firm shall be **removed** from the distribution list.
24. ASI Accredited Auditing Firms are also required to implement an ongoing internal programme for the calibration of their Auditors, in accordance with the ASI Auditor Accreditation Procedure (Schedule 2).

5.8. Continual improvement

25. The ASI Secretariat will regularly (and at least annually) review and update Auditor training modules to continue to tailor them to competence needs and support evolving learning objectives.
26. The ASI Secretariat will identify ongoing issues and improvement opportunities for auditor competence and assessment that arise through:
 - Feedback from training participants on the training content and experience to identify opportunities for improvement

- Competence evaluations (section 5.6)
- Audit Report Oversight Assessments, with key metrics available at <https://aluminium-stewardship.knack.com/asi-assurance-platform#home/oversight/view-oversight-assessments-data/>
- The Oversight Mechanism more generally
- The Complaints Mechanism
- The elementAI Help Desk, and
- The Monitoring and Evaluation (M&E) program.

6. RECORDS

27. The ASI Secretariat shall maintain up-to-date records in ASI’s Insightly CRM, Mailchimp, Thinkific, Brillium, Box and elementAI of ASI Accredited Audit Firms, ASI Accredited Auditors and Audit Support Personnel to track:
- Accreditation status
 - Training received
 - Assessments records
 - Eligibility to receive ASI communications
 - Other matters as identified
28. Records associated with the Auditor Competence and Assessment processes described in the Procedure will be securely maintained by the ASI Secretariat for at least 10 years from the date the records were generated.

7. DOCUMENT CONTROL

Document Name	ASI Auditor Competence and Assessment Procedure
Document ID	ASI-PRO-6
Revision	Version 2
Publication Date	April 2020
Approved By	CEO
Next Review Date	3 years or as required

Please refer to the *ASI Box Folder > Assurance Model > Auditor competence* for the latest version of this procedure.