

## ASI Registered Specialist Approval Procedure

Version 3 – April 2020

### 1. PURPOSE

This procedure describes the process and requirements for a Technical Expert to become an ASI Registered Specialist and maintain that status over time.

### 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. ASI retains the authority to define and oversee implementation of this procedure by the ASI Secretariat and other parties.

### 3. DEFINITIONS

Term	Definition
<b>ASI Accredited Auditing Firm</b>	A Conformity Assessment Body meeting ASI’s objective selection criteria and accredited to carry out ASI Audits.
<b>ASI Standards</b>	ASI Performance Standard and ASI Chain of Custody Standard.
<b>Audit Team</b>	One or more Individual Auditors conducting an ASI Audit, supported if needed by Technical Experts.
<b>Consultancy</b>	Participation in designing, implementing, operating or maintaining management systems, products or services as they relate to a Member’s Certification Scope.
<b>Member</b>	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"> <li>• Production and Transformation (eligible for ASI Certification)</li> <li>• Industrial Users (eligible for ASI Certification)</li> <li>• Civil Society</li> <li>• Downstream Supporters</li> <li>• Associations</li> <li>• General Supporters</li> </ul>
<b>Registered Specialist</b>	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.
<b>Technical Expert</b>	A person who provides specific knowledge or expertise relevant to a given Certification Scope to support an Audit Team. <ul style="list-style-type: none"> <li>• <i>A Registered Specialist is a Technical Expert that has been recognised by ASI.</i></li> </ul>

### 4. REFERENCES

- ASI Registered Specialist Application Form
- ASI Registered Specialist Competence and Assessment Procedure
- ASI Assurance Manual
- ASI Performance Standard and Guidance

- ASI Chain of Custody Standard and Guidance
- ASI Claims Guide
- ASI Oversight Mechanism
- ASI Complaints Mechanism

## 5. PROCEDURE

### 5.1. Process Overview

1. There are five main stages in the ASI Registered Specialist procedure, illustrated in Figure 1:



Figure 1 ASI Registered Specialist Process

- Registered Specialists may be commissioned by:
  - A Member (or an Entity) to contribute to the development and/or implementation of the Entity's systems and processes to support conformance with the ASI Standards; or
  - An Audit Team to advise the Lead Auditor regarding the planning, execution and/or follow-up activities for an ASI Audit. A Technical Expert cannot act as an Auditor on the Audit Team.
- A Registered Specialist cannot be employed by a Member (except for Civil Society Organisation or General Supporter membership classes) or an ASI Accredited Audit Firm (whether permanent full time, part time or casual as an employee or a contractor but excluding consultancy engagement terms).
- A Registered Specialist currently offering Consultancy or having offered Consultancy in the last two years to a Member as it relates to that Member's 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.
- 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.
- Each Registered Specialist acknowledges and agrees that:
  - The governing law of its contractual arrangements with ASI is the law of Victoria, Australia, and that it submits to the jurisdiction of the Supreme Court of Victoria, Australia and the Courts which may hear appeals from that Court.
  - It is responsible for legal compliance with Applicable Law (as defined in the Glossary of the ASI Performance Standard), including applicable laws and regulations related to labelling, advertisement, and consumer protection and Antitrust Laws (applicable laws and regulations relating to antitrust and competition), at all times. ASI cannot accept liability for any violations of Applicable Law or any infringement of third-party rights made by other organisations.
- The Registered Specialist must indemnify ASI and each of its officers, employees, agents and contractors (**Personnel**) against any:
  - action, proceeding or claim whatsoever that may be brought against any of them; and

- other liability, loss, injury, damage, cost or expense (including financial, indirect or consequential loss (including loss of reputation) and legal costs on a full indemnity basis) suffered or incurred by any of them, arising directly or indirectly out of or attributable to the conduct of the Applicant or any of its Personnel occurring at any time, except to the extent that the particular action, proceeding, claim, liability, loss, injury, damage, cost or expense is directly caused by the gross negligence or wilful default of ASI.
8. Any payment of a liability or other sum under this indemnity must be made whether or not legal proceedings are instituted, and if such proceedings are instituted, irrespective of the means, manner or nature of any settlement compromise or determination.
  9. ASI holds the benefit of this indemnity on trust for itself and for each of its Personnel.

### 5.2. Stage 1 – Application

10. A Technical Expert that wishes to apply to be a Registered Specialist must:
  - Complete the relevant sections of the ASI Registered Specialist Application Form (the ‘Application Form’) available from the ASI website.
  - The ASI Registered Specialist Application Form outlines the minimum level of competencies, professional qualifications and experience that a Technical Expert must possess in order to be considered to become an ASI Registered Specialist.
  - Submit the form together with the required supporting documentation electronically to the ASI Secretariat to [info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)
11. A Registered Specialist that wishes to update their specific knowledge or expertise must:
  - Complete the relevant sections of the ASI Registered Specialist Application Form (the ‘Application Form’) available from the ASI website.
  - Submit it with the required supporting documentation electronically to the ASI Secretariat to [info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)
12. The ASI Secretariat will:
  - Acknowledge receipt of an application.
  - Provide information on any required training to be completed.

### 5.3. Stage 2 – ASI Secretariat Review

13. The table below sets out the main steps in the ASI Secretariat Review stage.

Step	Focus	Timing
Initial review	Completeness and eligibility of application	Normally within 14 days of receipt.
Gaps/clarification (if identified)	Request the Applicant to address any initial gaps or clarification necessary for the application before the review can continue.	With Applicant.
Application review	Review application and supporting documentation against ASI’s requirements, allowing for contacts with referees where required.	Normally within 21 days of receipt.

#### 5.4. Stage 3 – ASI Training

14. The Applicant will be required to demonstrate fulfilment of the required ASI Training, as set out in the ASI Registered Specialists Competence and Assessment Procedure.

#### 5.5. Stage 4 – Outcome for the Applicant

15. Based on the application and the outcome from required ASI Training, the ASI Secretariat will make a decision regarding Registered Specialist status for the Applicant and notify him or her accordingly.
16. If the applicant is successful, the following information relating to the Registered Specialist will be posted on the ASI website, and in *elementAI* in the Member and Auditor Dashboards:
  - 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.
17. 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 5.6)
  - 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.
18. 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.
19. Applicants and ASI Registered Specialists have access to the ASI Complaints Mechanism and associated appeal processes.

#### 5.6. Stage 5 – Periodic Changes

20. 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 Application Form, or by email to the ASI Secretariat.
21. Changes will be reviewed in accordance with the steps outlined in this procedure, and the ASI website and *elementAI* information updated accordingly.

22. From time to time, ASI may also advise Registered Specialists of new ASI Training requirements that are applicable to them. Completion of these requirements by the specified deadline will enable the Registered Specialist status to continue.

### 5.7. Roles and Responsibilities – ASI Secretariat

23. The table below sets out key roles and responsibilities within the ASI Secretariat for ASI Accreditation:

Role	Responsibilities
Director of Assurance	<ul style="list-style-type: none"> <li>Overall management of ASI Registered Specialist processes.</li> <li>Identifying and actioning opportunities to improve ASI’s systems.</li> </ul>
elementAl Manager	<ul style="list-style-type: none"> <li>Effective functioning of the <i>elementAl</i> platform generally, and activation of new <i>elementAl</i> users.</li> </ul>
Learning Manager	<ul style="list-style-type: none"> <li>Developing approaches and material for building and evaluating competence and supporting calibration processes for ASI Accredited Auditors and Registered Specialists.</li> </ul>
CEO	<ul style="list-style-type: none"> <li>Providing appropriate resources for processes to be carried out efficiently and effectively.</li> <li>Reporting any material issues or significant improvement opportunities to the Board.</li> <li>Approving new or updated procedures.</li> </ul>

## 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

Document Name	ASI Registered Specialist Procedure	
Document ID	ASI-PRO-3	
Revision	Version 3	
Publication Date	April 2020	
Approved By	ASI CEO	
Next Review Date	3 years or as required	
Revision History	Version 1	Issue for use, September 2017
	Version 2	Introduction of training requirements, August 2019
	Version 3	Updated to add indemnity provisions and generally improve structure, flow and clarity.

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