

ASI Registered Specialist Competence and Assessment Procedure

Version 2 – April 2020

1. PURPOSE

This procedure describes ASI’s requirements and processes to ensure the competency of Registered Specialists.

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](#).

2. SCOPE AND APPLICATION

This procedure applies to the ASI Secretariat and ASI Registered Specialists. It aims to ensure that:

- ASI’s scheme-specific competency requirements for Registered Specialists 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 competence identified through oversight processes are addressed
- ASI takes a continual improvement approach to 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.
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>elementAI</i> .
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.

Term	Definition
Conformity Assessment Body (CAB)	An independent third party organisation that undertakes conformity assessment techniques and activities, including audits.
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
Registered Specialist	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.

4. REFERENCES

- ASI Assurance Manual
- ASI Auditor Accreditation Procedure
- 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

5. PROCEDURE

5.1. Roles and Responsibilities

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

Role	Responsibilities
Learning Manager	<ul style="list-style-type: none"> • Developing approaches and material for building competence of Registered Specialists • Developing approaches and material to evaluating competence of Registered Specialists • Developing and reviewing calibration processes and supporting material • Maintaining ASI records associated with this procedure.
elementAI Manager	<ul style="list-style-type: none"> • Effective functioning of the ASI Assurance Platform, elementAI.
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.

	<ul style="list-style-type: none"> • Reporting any material issues or significant improvement opportunities to the ASI Board. • Approving new or updated procedures.
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2. To contribute to the competence of Registered Specialists 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 Registered Specialist Competence and Assessment Procedure are illustrated in Figure 1 below.

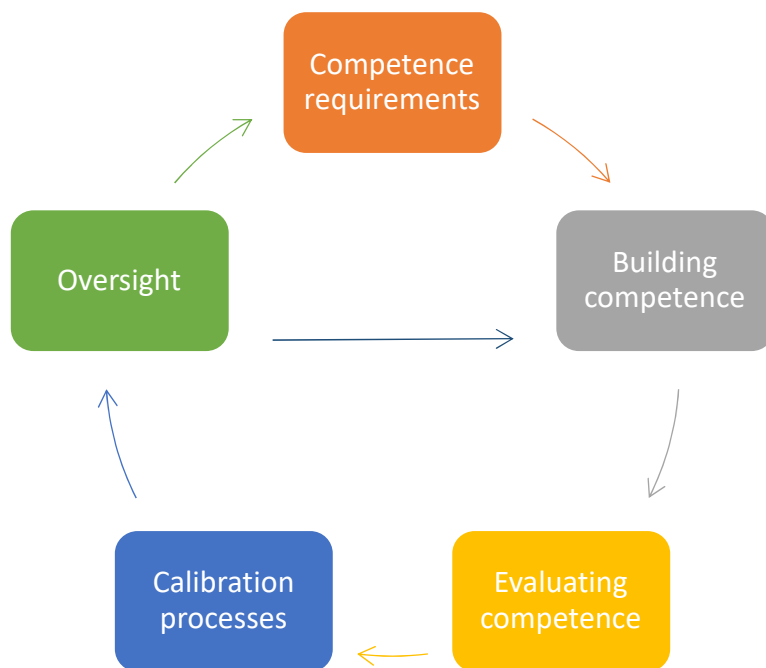


Figure 1 – Core components of ensuring competent implementation of the ASI assurance model

5.3. Competence requirements – ASI Registered Specialists

6. The ASI Registered Specialists Procedure includes the minimum requirements for Registered Specialists.
7. This procedure sets out ASI’s initial and ongoing competence building and competence evaluation requirements.
8. Until and unless all requirements are met, Registered Specialists are not eligible to be listed on ASI website.

5.4. Building competence – Initial Training

9. To build the necessary competence for their role, all Registered Specialist applicants are required to undergo mandatory initial ASI training and competence assessment.
10. Registered Specialist training forms part of ASI's broader educational program structure and is made available online.
11. Registered Specialist applicants may alternatively attend in-person training sessions where organised by ASI and deemed to meet applicable training requirements.

5.5. Evaluating competence

12. Registered Specialist applicants 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.
13. Instructions for the Registered Specialist exams are available in 'Fulfilling the requirements to become an ASI Registered Specialist', that can be accessed at the ASI website here: <https://aluminium-stewardship.org/wp-content/uploads/2020/01/Fulfilling-the-ASI-Requirements-to-Becoming-an-ASI-Registered-Specialist.pdf>
14. 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
 - Decision on applicable sanctions
 - Notification of the ASI Board
 - Implementation of applicable sanctions
 - Any other necessary actions.
15. 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 Registered Specialist applicant
 - Non-approval of the Registered Specialist applicant.

5.6. Ongoing calibration – training

16. Registered Specialist calibration training may be developed to share and learn from implementation experience and support more consistent interpretation.
17. 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.
18. Any mandatory calibration training must be completed by Registered Specialist on the schedule set by the ASI Secretariat to maintain their status.
19. Section 5.5 on Evaluating Competence may also apply to calibration training.

5.7. Ongoing calibration – other measures

20. The elementAI platform Help Desk and FAQs in the Auditor and Member Dashboards is also used to respond to queries on calibration matters and share these with all users.

5.8. Continual improvement

21. The ASI Secretariat will regularly review and update Registered Specialist training modules to continue to tailor them to competence needs and support evolving learning objectives.
22. The ASI Secretariat will identify ongoing issues and improvement opportunities for Registered Specialist 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
 - The Oversight Mechanism more generally
 - The Complaints Mechanism
 - The elementAI Help Desk, and
 - The Monitoring and Evaluation (M&E) program, including feedback from Members and Auditors.

6. RECORDS

23. The ASI Secretariat shall maintain up-to-date records in ASI’s Insightly CRM, Mailchimp, Thinkific, Brillium, Box and elementAI of Registered Specialists to track:
 - Registered Specialist status
 - Training received
 - Assessments records
 - Other matters as identified
24. Records associated with the Registered Specialist 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
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Next Review Date	3 years or as required

Please refer to the *ASI Box Folder > Registered Specialists > Procedures and Forms* for the latest version of this procedure.