

ASI Standards Committee

Teleconference Minutes

26 August 2020

Antitrust Compliance Policy

Attendees are kindly reminded that ASI is committed to complying with all relevant antitrust and competition laws and regulations and, to that end, has adopted a Competition Policy, compliance with which is a condition of continued ASI participation.

Failure to abide by these laws can have extremely serious consequences for ASI and its participants, including heavy fines and, in some jurisdictions, imprisonment for individuals.

You are therefore asked to have due regard to this Policy today and in respect of all other ASI activities.



Acknowledgement of Indigenous People

ASI acknowledges Indigenous Peoples and their connections to their traditional lands where we and our members operate. We aim to respect cultural heritage, customs and beliefs of all Indigenous people and we pay our respects to elders past, present and emerging.



ASI Ways of Working



ASI is a multi- stakeholder organisation. Dialogue is at the heart of everything we do. It is critical to ensure that the organisation delivers on its mission. We welcome all participants and value the diversity of backgrounds, views and opinions represented in this meeting. We recognise that we have different opinions; that is the heart of healthy debate and leads to better outcomes. To ensure our meetings are successful, we need to express our views and hear the views of others in a respectful and professional way, protecting the dignity and safety of all participants and enabling full participation from all attendees.

Agenda

	Topic		Lead
1	<ul style="list-style-type: none"> a. Welcome b. Introduction & Apologies c. Objectives d. Documents Circulated 	<ul style="list-style-type: none"> e. Previous Minutes f. Conflicts of Interest/Duty g. Log of Actions h. Progress/Status Update 	Chair
2	Assurance Manual <ul style="list-style-type: none"> a. Selecting External Parties to Interview b. Interview External Parties c. Definition of Facility d. Transition to the New Standards e. Maturity Ratings 	<ul style="list-style-type: none"> f. Conformance Ratings g. Multi-site Selection Guidelines h. Off-site Audits i. Audit Reports j. Public Summary Audit Reports k. Reporting Indicators 	ASI
3	<ul style="list-style-type: none"> a. Agreed upon actions for Committee members 	<ul style="list-style-type: none"> b. Agreed upon actions for the Secretariat c. Close 	Chair

1a,b Welcome, Introduction & Apologies

a) Welcome

b) **Chair:** Kendyl Salcito (Nomogaia)

Attendees: Alexander Leutwiler (Nespresso), Annemarie Goedmakers (Chimbo), Anthony Schoedel (Arconic), Catherine Athenes (Constellium), Gesa Jauck (Trimet), Guilia Carbone (IUCN), Jessica Sanderson (Novelis), Jostein Soreide (Hydro), Rosa Garcia Pineiro (Alcoa), Steinunn Steinsson (Nordural), Stefan Rohrmus (Schueco), Tina Bjornestal (Tetrapak)

ASI: Cameron Jones, Camille Le Dornat, Kamal Ahmed, Krista West, Marieke van der Mijn

Apologies: Abu Karimu (Settle Ghana), Justus Kammuegger (WWF), Gina Castelain (IPAF), Hugo Rainey (WCS), Louis Biswane (KLIM), Michael Frosch (BMW), Marcel Pfitzer (Daimler), Maria Lee (WOCAN), Neill Wilkins (IHRB), Nicholas Barla (IPAF), Samir Whitaker (FFI)

Alternatives: **Proxies:** **Invitees:** Mark Annandale (University of Sunshine Coast, IPAF Support)

1c,d Objectives & Documents Circulated

c) Objectives

1. Adopt minutes of the previous meeting
2. Review and approve revisions to the Assurance Manual

d) Documents Circulated

1. ASI SC Teleconference 20Aug20
2. ASI SC Teleconference Minutes v2 29July20
3. SC Disclosed Conflicts of Interest
4. Summary of Post 2017 Launch Log of Suggestions and Changes (not up to date)
5. Revision Workplan Planning Document
6. ASI Assurance Manual V1.1 Dec2017 TC WIP
7. ASI Theory of Change and Board strategy July 2020 – for information
8. ASI - SCMemberApptProxyForm 22Jul20
9. ASI –SCMemberAlternateForm 22Jul20
10. ASI HRWG Teleconference Minutes v2 23June20
11. ASI SBHWG Teleconference Minutes v2 10June20

1e,f Previous Minutes & Conflicts of Interest/Duty

e) Previous meeting minutes draft

Resolved to accept the minutes of previous teleconference 29 Jul 2020 V2.

- Minutes will be published on the ASI website.

f) Conflicts of Interest/Duty

Disclosure sent with meeting package

1g Log of Actions

g) Log of Meeting Actions open or closed since last meeting:

1. It was agreed that a Members interested in participating in a discussion/forum when the Rio Tinto investigation is concluded should express their interest to ASI.
 - Two received. **Closed.**
 2. Any examples of Affected Populations and Organizations that would require explanation in the Guidance should be sent to ASI.
 - None received. **Closed.**
 3. ASI to convene a discussion/forum when the Rio Tinto investigation is concluded regarding any learnings/thoughts on how such incidents could impact ASI credibility.
 - Rio Tinto investigation still ongoing. **Open.**
- A comment was raised relating to the relocation of communities on or near the CBG's bauxite mine in Guinea (uncertified). ASI responded that they were aware of the situation and that it has been discussed with IPAF and raised to the Board, It will be discussed at next months' Board meeting.
 - One member raised a question about the ASI response to an email they sent on a visit to a mine in Guinea: they would like to follow-up on this and discuss issues with ASI mining companies that are active in Guinea. ASI responded that they had responded to this request and this is 'on hold' because of current travel restrictions.

1h Progress/Status Update

Revision Workplan Planning Document
Summary of Post 2017 Launch Log of Suggestions and Comments

	PS 1	PS 2	PS 3	PS 4	PS 5	PS 6	PS 7	PS 8	PS 9	PS 11	COC	MS	AM	Claims	Final Review
Standard	✓	✓ *	✓									✓	T		
Guidance	✓				-										

MS = applicability for material stewardship/other manufacturing

AM = Assurance Manual

✓ = item is completed and ready to go out for consultation

T = on today's agenda

* = Stakeholders definition still outstanding

- Propose if we don't meet meeting objective today that we schedule an additional meeting in two weeks' time.

2a Selecting External Parties to Interview

Change to Assurance Manual (log item 56 & 61) suggested by IPAF recommended by the HRWG + addition for NGOs (still to be reviewed by IPAF)

Considerations for the Standards Committee:

- **A weakness was identified in Version 1 of the Assurance Manual that requirements to interview external parties were not very clear. This resulted in some early audits not having any interviews of Indigenous Peoples, which is an integrity issue for ASI.**
- **We received additional feedback through training that the current guidelines on selecting external parties was vague and did not provide sufficient guidance.**
- **Statistical sampling guidelines were included in old Sections 5.11 (Sampling Techniques) and 5.12 (Statistical) but were very technical and much more suited to a document based quality type audit and are now moved to an Appendix.**
- **Additional guidance in this new proposed section provides clear instruction:**
 - **That external parties from are expected to be interviewed**
 - **On how many external parties interviews are sufficient in an audit**
 - **How the number of external parties may vary depending on context**
 - **That diversity and broad representation are expected in the selection of external parties.**

2a Selecting External Parties to Interview

NEW: 8.4.3 Selecting External Parties to Interview

When planning the Audit and setting the Audit Scope, individuals and groups external to the Entity impacted by the activities of the Facilities within the Entity's Certification Scope, should be identified for interview during the Audit. This may include (but is not limited to):

- Indigenous Peoples (noting there may be more than one affected group)
- Local Communities such as residents, other businesses or sensitive receptors
- Regulatory authorities with responsibility for governance, environment and/or social matters (e.g health and safety authority, environmental protection authority, etc)
- Representatives from labour unions, including potentially those who do not operate within the Facilities within the Certification Scope
- **NGOs**

This was added after the
HRWG approved

*Note this was written before the definition of Affected Populations and Stakeholders so some tidying will need to be done still.

2a Selecting External Parties to Interview

Auditors should extend the invitation to a sufficient number of external parties relevant to the Audit Scope so a sufficient number of interviews will be conducted such that a point where there are no new viewpoints relevant to the Audit likely to be raised. The sampling strategy for External Parties may be adapted based on the objective evidence received over the course of an Audit. The sampling strategy should be informed by:

- The regional context in which the Entity works
- Other certifications which the Entity holds (see Table 3 on Recognised External Standards and Schemes)
- The Social Maturity Rating of the organization.

Appendix X includes statistical sampling guidelines.

This was added after the
HRWG approved

For example, an Entity operating in a low-corruption, highly regulated region with a SA8000 certification and mature social management systems would typically require a lesser number of external stakeholder interviews than an Entity operating in an area with endemic corruption, insufficient regulatory enforcement and with no external certifications and immature social management systems.

It is important to note that whilst ASI places the onus on Auditors to make all reasonable efforts to engage external parties, participation in the Audit is at the sole discretion of each external party. It is often the case that not all parties invited to be interviewed will choose to participate.

The approach used should target respondents that represent a broad viewpoint(s) of those affected by the activities of the Facilities within the Entity's Certification Scope, taking into account the nature and level of risk associated with the activities.

Discussion Summary

- This language was **approved** with the additional clarification that NGOs include both social and environmental and will be incorporated in the draft Assurance Manual that will go out for consultation.
- Additionally there was discussion that public reporting of the number of NGOs engaged should be broken down by environmental and social groups.

2a Interviewing Affected Pop'ns and Organisations

Change to Assurance Manual Definitions (log item 56 & 61) suggested by IPAF recommended by the HRWG (still to be reviewed by IPAF)

Considerations for the Standards Committee:

- **IPAF has suggested that we include greater guidance on how to approach interviews with Indigenous Peoples, including both information that should be shared and also how to approach Indigenous Peoples.**
- **There have been no comments in the period since implementation that interviews with any other groups have been insufficient or that greater guidance is needed. General guidance on conducting interviews is included in the Assurance Manual already in Appendix 1.**
- **There is a suggestion from a Standards Committee member that this section should be further expanded with a focus on environmental NGOs. This has not been identified in implementation and there are additional groups (labour unions, governments) that are not named specifically in this section.**

2a Interviewing Affected Pop'ns and Organisations

New 8.10.1 Interviewing Affected Populations and Organisations

Where Affected Populations and Organisations may be or have been impacted by the activities of Facilities within the Entity's Certification Scope, the Audit Plan should include adequate time for the meeting of, and interviews with a sample of those affected. In most cases, an ASI Performance Standard Audit would incorporate the sampling of Affected Populations and Organisations as part of the verification of Conformance. (See section 8.5.3)

When interviewing external Affected Populations and Organisations the Auditor shall inform the interviewee:

- about ASI and the Criteria addressed as part of the interview
- the relationship between ASI, the Auditor and the Entity
- what the potential outcomes of the Audit are
- that comments may be received confidentially
- that concerns can be raised to ASI about the audit outcomes via the Complaints Mechanism available on the ASI website.

2b Interviewing Affected Pop'ns and Organisations

Where there are Indigenous Peoples (and their lands and territories) that may have been impacted by activities of Facilities within the Entity's Certification Scope, the Audit Team must firstly identify which Indigenous Peoples may be impacted. Multiple sources should be consulted, including, but not limited to:

- Any national, regional, or local associations of Indigenous Peoples for that country
- Government Websites
- The Entity
- Other social, cultural or non-government organisations working to support the rights of Indigenous Peoples

It should be noted that it is possible in some regions, that there is more than one group of Indigenous Peoples potentially impacted.

Where Indigenous Peoples are identified as being potentially impacted, every effort shall be made to contact the Indigenous Peoples in advance with reasonable notice of the Audit to establish an in-person meeting. The Audit Team shall contact the Indigenous Peoples, using multiple means (email, phone, mail as required), at least four weeks in advance of on-site Audit to attempt to establish an in-person meeting. The Audit Team shall include an Auditor or technical expert with expertise in Indigenous Peoples in the country.

2b Interviewing Affected Pop'ns and Organisations

In accordance with the protocols of the Indigenous Peoples, when meeting with Indigenous Peoples Auditors should attempt to meet with:

- Leadership (elder, leader, council)
- The representative(s) which have worked with the Entity, if any
- Representatives of the community, including youth and elders, men and women, where needed, and especially where Free, Prior and Informed Consent is within the Audit Scope
- National and/or regional bodies, where they exist (i.e. The Public Prosecutor's Office in Brazil)

In all sampling for testimonial evidence (including workers) auditors should strive to sample a balance of women and men.

2a/b Discussion Summary

- There was a comment that the focus of interviews should also include environmental NGOs as nature 'cannot speak for itself'. Environmental NGOs are included in the definition of Affected Populations. It was asked if an auditor would automatically check if an environmental NGO is contacted - does that need extra explanation in the Manual? It is up to the auditor to determine which NGOs are relevant, however the recommendation later in this agenda is that there be public reporting on who was interviewed (by category) and if there is a concern that someone is not included, concerns can now be raised.
- The new language for 8.10.1 was **approved** and will go out for public consultation.

2c Definition of Facility

Change to Assurance Manual Definition for Facility (log item 104)

- Currently there is no guidance on what a facility actually is and we've had members ask if they can certify just one pot line or just half of a production facility

Current Language:

A Facility is a site or premises that is:

- Under the Control of a Member;
- For the purposes of ASI Certification, within the documented Certification Scope.

Proposed Language:

Facility: is as a single or group of physical assets at a location which is separated (geographically and/or by ownership) from other facilities, usually with a unique physical address. Those facilities with different physical addresses and/or which are geographically separated from each other are considered as separate Facilities. Nearby facilities operated by subcontractors, customers or suppliers are not included.

- The 'Facilities' definition defines the smallest unit of certification in the ASI system

2c Discussion Summary

- There was a comment that there are instances where different sites/buildings (in different locations) operate together; we consider them as different, but they have one manager, and are interconnected. How does that work under this definition? Companies will have to list the different sites/buildings; do not break apart what is one unit.
- This new definition with the addition of the word 'generally' at the end of the end of the second sentence was **approved** and will go out for public consultation.
- The approved text is:
 - Facility: is as a single or group of physical assets at a location which is separated (geographically and/or by ownership) from other facilities, usually with a unique physical address. Those facilities with different physical addresses and/or which are geographically separated from each other are generally considered as separate Facilities. Nearby facilities operated by subcontractors, customers or suppliers are not included.

2d Transition to New Standards

Transition – Standards must designate a timeline for transitioning to the new Standards

Proposed Language for Assurance Manual, Standards and Standards Guidance:

Members are required to demonstrate Conformance to the updated Standards (Performance Standard v3.0 and Chain of Custody Standard v2.0) in all Audits conducted from December 17, 2022 onwards. Audits conducted between the launch of the new Standards and December 17, 2022 may be against either version of the Standard.

*additionally need to indicate that the Assurance Manual and Claims Guide will be effective within 12 months of publication.

Considerations for the Standards Committee:

1. Is 12 months the appropriate timeframe for transition?

2d Discussion Summary

- The transition period was **approved** and will go out for public consultation.

2e Maturity Ratings

Change to Assurance Manual Definitions for evaluating 'risk' in Maturity Ratings (log item 36)

- Currently in Section 5 of the Assurance Manual we refer to Maturity Ratings as an evaluation of Performance, Risks and Systems. We say also that a higher Maturity Rating is indicative of an Entity's 'understanding and control of risks'
- The Secretariat has been asked whether the evaluation is of inherent risk or risk after it has been mitigated (aka Residual Risk), as it is currently unclear.
- Recommend that we refer to Residual Risk in relation to Maturity Ratings and adapt the definition of risk

Residual Risk: The chance of something happening, **accounting for risk mitigation measures that are in place**, that will have an impact on objectives, measured in terms of consequence and likelihood.

2e Discussion Summary

- There was a question whether the additional text and examples are for clarification, and if it could be explained in a bit more detail how this change works? It was explained that when evaluating a Maturity Rating, the company has to assign a Maturity Rating in each of the three categories. We want to measure what the risk is, and whether there is an understanding and control of the risk; so the change provides more clarification but does not change the intent.
- 'Residual risk' is not used in the current version of the Assurance Manual but it is included in the draft version that will go out for consultation.
- It was agreed to go back to this topic at the next meeting to make sure that the drafting is fully aligned with the text of the remainder of Section 5 of the Assurance Manual.

2e Maturity Ratings

Change in evaluating a High Maturity Rating (log item 46)

- It has been raised that a High Overall Maturity Rating should be only if all three categories are rated 'High'.
- Several comments were received from Standards committee Members both in favour and against this change.

Combined Sustainability Component Ratings	Conditions	Example of Collective Rating for Sustainability Components (Performance Standard Only)
High	Three High Ratings or Two High Ratings and one Medium	High for Governance and Social and Medium for Environment
Medium	Two High Ratings and one Medium or Two or more Mediums or Two High Ratings and one Low or One High, one Medium and one Low	High for Governance and Social but Low for Environment or High for Governance, Medium for Environment and Low for Social
Low	Three Low Ratings or Two Low Ratings and one Medium	Low for Governance and Social but Medium for Environment

2e Discussion Summary

- There was a suggestion to have 3 High Ratings = High, 2 High Ratings = Medium, 1 High Ratings = Low and keep the remainder open. Then the difference between the three Maturity Ratings becomes clearer.
- It was stated that a 'High' rating reduces need for on-the ground audit and if it is rated 'Medium' for 'Social', we have created a loophole on social indicators. It was suggested that maybe Medium can't have any Low ratings.
- It was suggested that future audits should be prioritized where there is a Lower rating and it was stated that this is already part of the Assurance system.
- There was a comment that Maturity Ratings are an estimation to the Guidance and Assurance Manual, and an estimation of the auditor rather than strictly being about conformance with the Performance Standard. We should not make it too strict – and keep it as is.
- There was a question what the distributions of Maturity Ratings has been so far? It was noted that information on Maturity Ratings is not publicly disclosed. The last 10 audit reports: 5 Highs and 5 Mediums. The breakdown by Sustainability topic is 8 highs and 2 mediums for governance and environment each and 5 highs and 5 mediums for social.
- It was stated that if you are in a highly regulated country and follow the law; you can still be Medium if you don't have many systems in place because you are reliant on the law. There is an understanding that social is important but other areas are also important.
- It was suggested to not allow for a Medium Rating if a company has a Low ratings.

2e Discussion Summary

- It was stated that there is already a lag on 'Social' indicated in recent audit reports - this rating allows for a continued lag. Maybe the next Standards Revision we can look at this lag. Maybe we should make this change now instead of in 4 years.
- It was said that we should change it now as shown on the slide, and then think about relaxing it in 4 years time during the next Revision if need be.
- This assessment on Maturity Ratings is tough to make; minor/major NCs are more tangible. Maturity Ratings come before; however of course they are linked. It was clarified that Maturity Ratings are not set until the end of the first audit; it only impacts subsequent audits. There is a correlation between NCs and Maturity Ratings.
- It also depends on the Auditor. Why do we make it so strict? It will raise more discussions during the audits, as well as audit efforts.
- It was stated that by shifting the conditions downwards it makes the meaning of L/M/H even more vague.
- The auditor evaluates Maturity Ratings nine times; if we make it stricter, the result is that the overall maturity rating is Medium if there is just ONE Medium and 8 highs. It will be very difficult to obtain the High Rating, so it is not any more reflective on the sum of the 9 scores.
- It was said that the system is working well in application.
- It was agreed to have a vote for Change (meaning the SC will discuss it next week) or No Change (meaning that we move on) to this discussion.
- It was **voted no change**.

2f Conformance Ratings

Change to Assurance Manual Definitions for Assigning Non-Conformance Ratings (log item 41)

- Clarifying when Significant Risk results in a Major
- Adding 'Gross error and/or complete absence of understanding of the Criterion'
- There is a suggestion from a Member of the Standards Committee to add a limit to the number of Major Non-Conformances allowed for a Provisional Certification (this is not yet reflected in changes on the next slide)

2f Conformance Ratings

Conformance Rating	Finding
Conformance	The Entity's Policies, systems, procedures and processes, within the defined Certification Scope, perform in a manner that is Conformant with the Criterion.
Minor Non-Conformance	The Entity's Policies, systems, procedures and processes, within the defined Certification Scope, perform in a manner that is not wholly Conformant with the Criterion, due to an isolated lapse of either performance, discipline or control, which does not lead to a Major Non-Conformance. It may also be a situation where the Member does not comply with applicable law but the situation does not present a Significant Risk to workers, the environment or the community.
Major Non-Conformance	<p>The Entity's Policies, systems, procedures and processes, within the defined Certification Scope, perform in a manner that is not conformant with the Criterion due to:</p> <ul style="list-style-type: none"> • The total absence of implementation of the Criterion • A systemic failure or total lack of required controls • Gross error and/or complete absence of understanding of the Criterion • A group of related, repetitive or persistent Minor Non-Conformances indicating inadequate implementation. <p>It may also be a situation where the Entity does not comply with Applicable Law is in Non-Conformance with the Criterion and the situation presents a Significant Risk to workers, the environment or the community.</p>
Not Applicable	The Criterion cannot be implemented by an Entity due to the nature of its Business within the defined Certification Scope. See section 6.2 below.

2f Discussion Summary

- This change was seen as very sensible and was **agreed** to.
- It was said that there needs to be a limit to the number of Major Non-Conformances as it is a risk if a percentage of ASI certified material is 'high risk' (has a lot of Major Non-Conformances).
- There was discussion on what the limit of Major Non-Conformances should be. Currently there is no limit to the Non-Conformances (Major and Minor) a company can have. So far only one company has had more than one Major Non-Conformances (4), and had 13 Minor Non-Conformances. There has been another company with one Major Non-Conformance.
- Five was suggested, but that was seen as too many. Three was suggested as another option, as well as two.
- The trend for certification systems is to allow for Major Non-Conformances. If companies have Major Non-Conformances it is only a short-term risk to the ASI system. Major Non-Conformances are rare and they are often related so there is sometimes a cluster, therefore two was seen as too low.
- It was **agreed** to allow for three (3) Major Non-Conformances for a Provisional Certification.

2g Multi-site selection guidelines

Change to Assurance Manual Definitions for assigning Non-Conformance Ratings (log item 81)

- Clarifying conditions which should influence site selection
- Clarifying Criteria which can be evaluated remotely
- * Head office used to be included in the sampling number and is now separated.

It is expected that central head office will normally be visited during the Audit to ensure the Management Systems is well understood.* Table 20 does not apply to a Member with multi-sites that fundamentally differ in activities and/or management systems, even though they are within the same Certification Scope.

Factors to consider when selecting which sites to include:

- Results of previous Audits
- Records of complaints and other relevant aspects of corrective and preventive action
- Significant variations in the size of the Facilities
- Variations in shift patterns and work procedures
- Complexity of the management system and processes conducted at the Facilities
- Modifications since the last (re-)Certification Audit
- Maturity of the Management System and knowledge of the organisation
- Social, including human rights and gender, environmental and health and safety, risks and associated impacts of the Member's activities, equipment and products

2g Multi-site selection guidelines

- Differences in culture, language and regulatory requirements
- Geographical dispersion. In these cases the risks and impacts of the Member's activities may help determine which locations to include in the Audit Scope. For instance, mining exploration involving remote surveillance (e.g. aerial surveys) or minimal disturbance may not warrant a site visit although a desktop review may still be carried out. However, if these exploration activities include pilot scale operations or construction of large-Scale facilities, a site visit may be necessary
- For Chain of Custody Audits, sites which are receiving CoC Material.

It is expected that Facilities that pose a Significant Risk or a higher risk of Non-Conformance would be given selection priority.

Depending on the Criteria within the Audit Scope, some or all of the site sampling may be done remotely in a Surveillance or Re-certification Audit, where the Entity has a high Overall Maturity Rating.

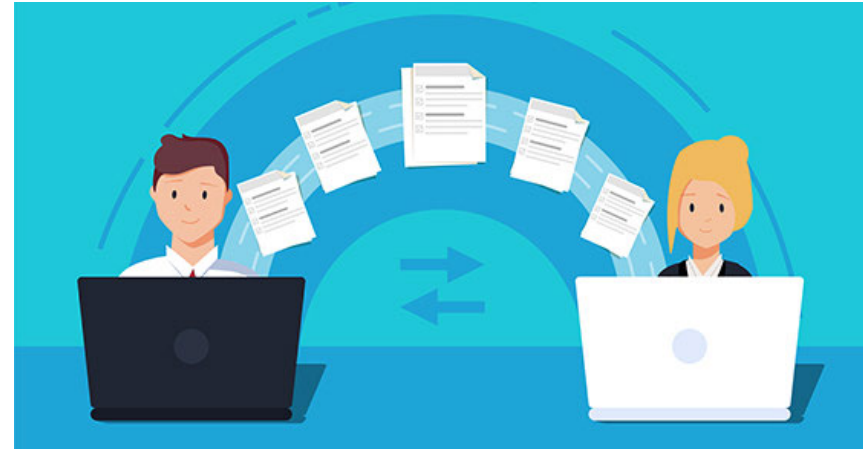
2g Discussion Summary

- There were no further comments. The change was **agreed** and will go out for public consultation.

2h Off-site audits

Clarifying Criteria which can be evaluated remotely (change as a result of the Standards Committee Discussions on expanding the Scope for Material Conversion and Other Manufacturing Facilities):

- Of particular importance in Material Conversion and Other Manufacturing Audits where P1-4 audits can be conducted remotely
- This can continue to be evaluated over the next several months as it is and continues to be implemented under COVID-19 conditions. Other certification systems are also implementing remote audits and there is a global discussion through ISEAL that can inform their effectiveness and limitations.
- This list is based on the current Standard and Criteria which are policy focused are done remotely. The final decision for the appropriateness of remote auditing of each Criterion should be finalized once the Standards are finalized.



2h Off-site audits

Scroll down for the full list or find it here: <https://aluminium-stewardship.org/wp-content/uploads/2020/06/ASI-Interim-Policy-Audits-Audit-Related-Travel-and-Coronavirus-May2020-V4.pdf>

	AUDIT TYPE									
	INITIAL	SURVEILLANCE			SCOPE CHANGE			RE-CERTIFICATION		
CURRENT RATING	N/A	Conformance	Minor NC	Major NC	Conformance	Minor NC	Major NC	Conformance	Minor NC	Major NC
PERFORMANCE STANDARD										
6 Emissions, Effluents and Waste										
6.1 Emissions to Air	✓	✓	🔒	🌕	✓	✓	🔒	✓	🔒	🌕
6.2 Discharges to Water	✓	✓	🔒	🌕	✓	✓	🔒	✓	🔒	🌕
6.3 Assessment and management of spills & leakage	🌕	✓	🔒	🌕	✓	🔒	🌕	✓	🔒	🌕
6.4 Reporting of Spills	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
6.5 Waste management and reporting	🌕	✓	🔒	🌕	✓	🔒	🌕	✓	🔒	🌕
6.6 Bauxite Residue *	🌕	✓	🔒	🌕	✓	🔒	🌕	✓	🔒	🌕
6.7 Spent Pot Lining (SPL) *	🌕	✓	🔒	🌕	✓	🔒	🌕	✓	🔒	🌕
6.8 Dross *	🌕	✓	🔒	🌕	✓	🔒	🌕	✓	🔒	🌕

2h Discussion Summary

- There was a question that during interviews, the auditors will ask employees whether they have heard of the Code of Conduct. How would this work if interviews are not done on-site? It was explained that auditors can choose 'Unable to Rate' in elementAI if there is not enough assurance. It can then be done later when auditors are able to go on-site.
- It will be interesting to see, over time, how often auditors choose the 'Unable to Rate' option.
- It was said that we need more Covid-related audits to fully understand what can be done remotely.
- The concept was **agreed** and the final decision for the appropriateness of remote auditing of each Criterion will be finalized once the Standards are finalized.

3a,b,c Agreed Upon Actions & Close

- a. Agree any final post-meeting actions and timeframes by Committee members
- b. Agree actions by Secretariat
- c. Chairs and Secretariat thanks to all participants and close of meeting

Next Meeting – TBD from Doodle poll – Sept 9th.

- Next scheduled meeting: Teleconference September 23rd

Thank you