ASI Monitoring and Evaluation (M&E) – Public System Report
*October 2020*

Background

This Public System Report is designed to provide a simplified overview of the key aspects of our monitoring and evaluation (M&E) system to stakeholders. If you have any questions, please contact us at info@aluminium-stewardship.org.

Scope and Boundaries of the M&E System

- ASI was incorporated in 2015 and developed its current models for Standards-Setting, Assurance and Impacts concurrently from the initial stages. This enabled an integrated approach to M&E system design.
- The ASI M&E system is focused on the change ASI hopes to achieve in the global aluminium value chain. It is designed to support stakeholder learning and organizational improvement over time.
- The scope of issues under the M&E system is aligned with key topics in the Performance Standard and Chain of Custody Standard as well as broader strategies for sectoral change. As ASI's certification program launched in December 2017, and implementation of the M&E system started in 2019, following at least one year of operation and a critical mass of certifications in place.
- ASI's M&E Plan is a dynamic document that was approved by the Standards Committee in April 2019. It sets out the key issues ASI aims to address, the long term goals, desired impacts, expected outcomes and strategies, plus indicators for data collection.
- These stem from the ASI Theory of Change, illustrated below:
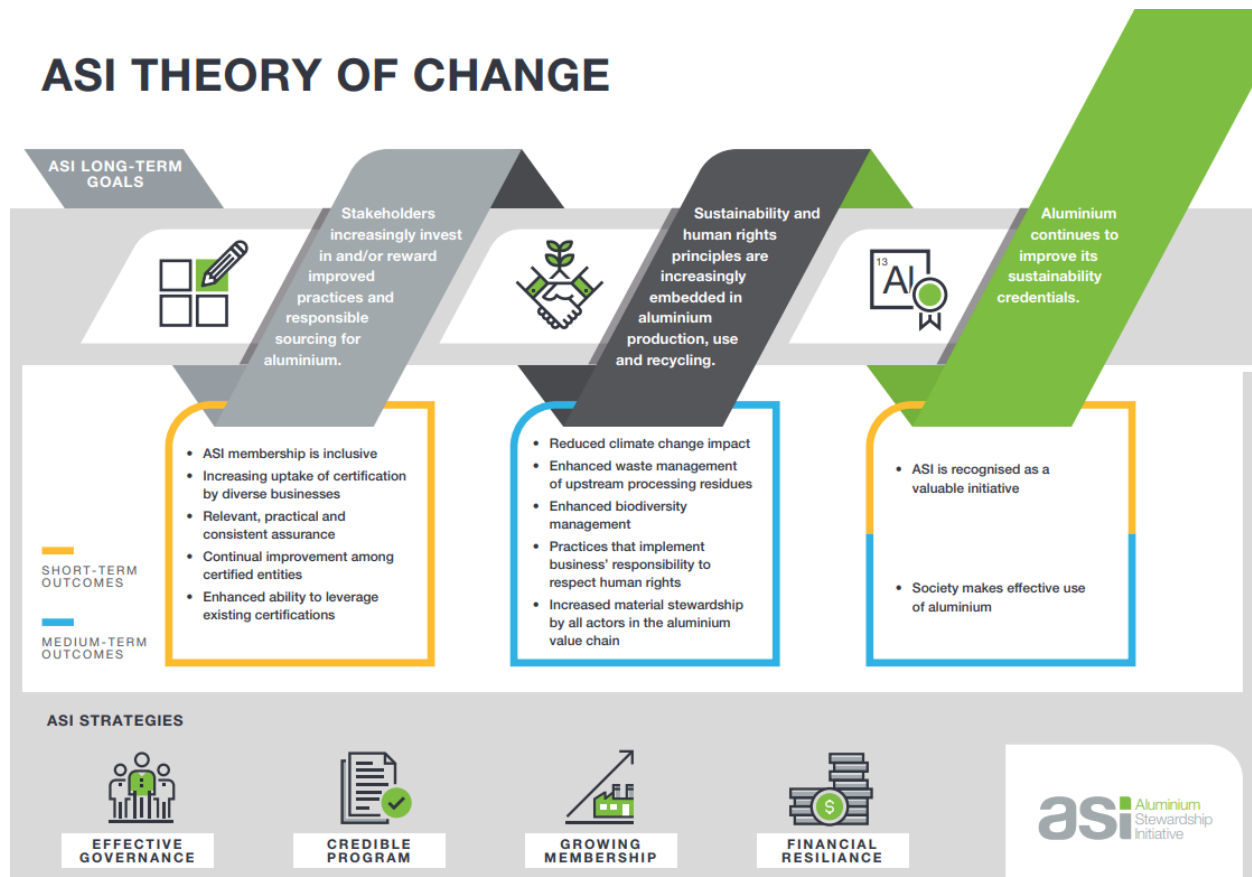
Roles and Responsibilities

- ASI still has a relatively small Secretariat of approximately 8.5 FTE. The Director of Impacts and Partnerships, Marieke van der Mijn, is responsible for ASI's Monitoring and Evaluation program and collaborates with the CEO, Director of Standards, Director of Assurance and Data Governance Manager on insights from the M&E program and actions arising.
- Other key staff with direct M&E responsibilities are:
    - Fiona Solomon, CEO – working with the ASI Board on ASI's broader strategy and Theory of Change.
    - Cameron Jones, Director of Assurance, working with Working Groups on implementation of the M&E Plan.
    - Krista West, Director of Standards, working with the ASI Standards Committee and Working Groups on implementation of the M&E Plan, and leading the ASI Standards Revision Process between 2020-2021.
    - Kamal Ahmed, Data Governance Manager, managing ASI's data governance within the M&E program, including data systems, analyses and quality control measures, and associated team capacity building.
- Supporting the M&E activities are:
    - Carolyn Muscat, elementAl Manager – development of the online assurance platform, *elementAl*, which includes M&E data collection functionalities.
    - Thad Mermer, Communications Manager – communication of the M&E program development, progress and findings.
    - Camille Le Dornat, Learning Manager - integration of learnings into ASI's *educationAl* program for members and auditors.
    - Michelle Freesz, Administration Manager – data collection and aggregation for some program-level indicators.
- All staff have relevant and complementary professional backgrounds for these roles. A brief profile for each staff member can be found at: https://aluminium-stewardship.org/contact/.
- In 2020, ASI included a separate operating expenditure line for M&E in its budget of AUD50k, plus AUD40k to the University of Sunshine Coast for IPAF-related activities which can include some M&E. The M&E activities are estimated to constitute approximately 25% of team activities.

Cooperation and Coordination

- Since 2016, ASI has worked closely with the Tropical Forests and People Research Centre in Australia since 2016 on a number of IPAF-related activities including, the annual meetings, co-ordination of IPAF discussions and information resources, and some research activities. Mark is also a member of ASI's Biodiversity & Ecosystem Services Working Group. The Centre's work in forests has strong intersections with the bauxite industry, including a range of major projects on sustainable livelihoods for Indigenous communities. Mark's expertise lies in practical and participatory approaches to empowering communities, particularly through the development of new commercial opportunities such as community forestry and mine-site rehabilitation.
- In 2016, ASI signed a Memorandum of Understanding (MoU) with the International Aluminium Institute (IAI) on collaboration on data collection, modelling and analysis. IAI has been collecting data on key issues including greenhouse gas emissions, energy use, wastes and regional and global production figures for over 30 years. They have also developed a global mass flow model and are collaborating with ASI to track ASI material within this model, once sufficient volumes can be tracked under the ASI Chain of Custody Standard.
- In 2018, ASI signed a MoU with the Responsible Business Alliance (RBA) to work on areas of collaboration to support responsible sourcing practices and ongoing improvement in the environmental, social and governance performance of their respective members and/or supply chain partners.
- In 2019, The London Metal Exchange (LME) and the Aluminium Stewardship Initiative (ASI) developed an MoU to underpin collaboration on responsible aluminium value chains. Key areas of focus include the 2020-2021 ASI Standards Revision in light of LME's Responsible Sourcing initiative, the potential

use of ASI Certification, metrics and audits by LME, ASI M&E projects and other relationship-strengthening activities that can promote the shared values of both organisations.

- In 2020, ASI was successful in its application for an ISEAL Impulse Grant which is supported under the ISEAL Innovations Fund. The project is 'Global mass flow of aluminium and ASI Chain of Custody data – integrating and visualising data sets across two organisations' and involves collaboration with IAI on their mass flow model.
- ASI continues to look for similar cooperative models with other organisations, as well as research partnerships with universities and other organisations. ASI has developed a webpage to provide an overview of our current and collaboration efforts, see: https://aluminium-stewardship.org/why-aluminium/collaborations/.
- In addition, ASI responds where it can to information requests from researchers, organisations and institutions carrying out benchmarking and other research into standards like ASI. This includes students at the PhD and Masters level.

Key Stakeholders for M&E

- There are a broad range of stakeholders interested in ASI's M&E program, which largely (but not completely) overlap with stakeholders for ASI Standards Setting processes.
- For both Standards Setting and M&E/Impacts, key stakeholders include:
  - ASI Members in every membership class (Production and Transformation, Industrial Users, Downstream Supporters, Civil Society, Associations and General Supporters)
  - Indigenous Peoples, including through the Indigenous Peoples Advisory Forum (IPAF)
  - Communities
  - Workers
  - Trade Unions
  - Other users, producers and recyclers of aluminium
  - Other civil society organisations, associations and technical experts
  - Aluminium traders and market analysts
  - Small businesses
  - Governments and regulators
  - All stakeholders with an interest in the aluminium value chain.
  - The ISEAL Alliance and its members
  - Other standards systems and sustainability initiatives
  - Academic and research organisations and individuals
  - Benchmarking and reporting initiatives

Defining the Intended Change

- As illustrated in the ASI Theory of Change (page 1) and described in the M&E Plan:
  - The intended long-term social, environmental or economic impacts are:
    - **Standards**: Sustainability and human rights principles are increasingly embedded in aluminium production, use and recycling. Key outcome areas are:
      - Reduced climate change impact
      - Enhanced waste management of upstream processing residues
      - Enhanced biodiversity management
      - Practices that implement business' responsibility to respect human rights
      - Increased material stewardship by all actors in the aluminium value chain.
    - **Uptake**: Companies increasingly invest in and reward improved practices and responsible sourcing for aluminium.
    - **Reputation**: Aluminium continues to improve its sustainability credentials with stakeholders.
  - The expected short and medium term outcomes are shown in the middle boxes of the Theory of Change, and set out in the M&E Plan with specific indicators and comments on data collection. Indicators that overlap with ISEAL Common Core Indicators are flagged.

- o The organisation's strategies are captured in detail in the ASI Strategic Plan and are in four main categories:
    - Effective governance
    - Credible program
    - Growing membership
    - Financial resilience
- The ASI Risk Assessment and Strategic Plans identify some of the key external factors that will influence achievement of intended impacts and outcomes. This will continue to be reviewed and further developed as the M&E program matures.
- The ASI Strategy and M&E Plan encompass possible unintended effects of ASI's activities, both positive and negative. These have been identified through various discussions among the ASI Board, Committees and Working Groups, the Indigenous Peoples Advisory Forum, key stakeholders and the Secretariat during ASI's development phase in 2015-2018. Unintended consequences will be further explored in ASI's Risk Assessment, and subject to stakeholder feedback through periodic surveys under ASI's M&E Plan. The current and future impact of the Covid-19 pandemic on ASI's operations, revenue, and stakeholder value has been taken into consideration in the 2021 ASI Strategy and 2020 Risk Assessment.

Data Management

- The ASI IT and Data Governance Handbook has been revised in 2019 to:
    - o Establish cyber risk management and business continuity procedures
    - o Support security awareness and training for the ASI Secretariat and associated service providers
    - o Document the Software as a Service (SaaS) IT platforms used by ASI
    - o Classify information types, access and management procedures
    - o Set out ASI's data governance strategy and approaches
    - o Collect together relevant ASI policies and procedures for easy reference
- ASI has a strong commitment to integrated IT systems. For the certification process, ASI has developed its own customised assurance platform called *elementAl*, which is housed on a SAAS platform called Knack. It collects some M&E data through the audit process and some through annual surveys (planned) through this platform. Further development of ASI's M&E data management approaches will take place in this platform as the M&E system matures.
- Each ASI member company has its own firewalled account on *elementAl*, with multiple internal user access. The ASI Secretariat has access to aggregate data to enable analysis.
- Simple data visualization and reporting tools can be integrated into *elementAl,* and data can also be exported for more complex analyses e.g. multi-variable.
- ASI also stores general CRM data from the member application process on the SAAS platform, Insightly, some of which will be relevant for M&E indicators. Similar to *elementAl,* aggregate data can be exported for analysis and reporting purposes for specific variables.
- The ASI Antitrust Compliance Policy applies to the access, analysis and publication of all data: https://aluminium-stewardship.org/about-asi/legal-finance-policies/
- ASI Confidentiality, Privacy and *elementAl* Users Policies are also relevant. See https://aluminium-stewardship.org/about-asi/legal-finance-policies/ for copies of these policies.

Performance Monitoring and Outcome/Impact Evaluations

- The planned data collection and evaluations are identified in the M&E Plan. Indicators that overlap with ISEAL Common Core Indicators are flagged.
- ASI collects data on level 1 indicators directly from all its members at the time of their membership application, during the certification process through its online assurance platform, *elementAl*.
- ASI collects data on level 2 indicators through case studies, annual surveys of members and collaborations with other data collecting bodies. .
- Level 3 indicators, collected by independent researchers through outcome or impact evaluations, have commenced in 2020. ASI will also monitor external research and publications by third parties on

the ASI certification program. A list of completed, ongoing and planned outcome and impact evaluations can be found on the ASI website here: https://aluminium-stewardship.org/why-aluminium/outcome-impact-evaluations/

- ASI has started publishing data on the outputs and outcomes from its program in 2019 through an Outcomes Dashboard on our website: https://aluminium-stewardship.org/why-aluminium/asi-outcomes-impacts/. The dashboard is updated monthly and includes membership and certification outputs and outcomes, including:
    - # of ASI members
    - # of certificates issued against the Performance Standard
    - # of certificates issued against the CoC Standard
    - # of countries where certified facilities operate
    - % of ASI PS Certifications leverage one or more external certifications
    - # of ASI accredited auditing firms operating in X countries
    - # of auditors trained via the ASI *educationAl* program since 2017
    - # ASI Members and stakeholders trained via the ASI *educationAl* program since 2017
    - # of Indigenous Peoples Advisory Forum (IPAF) meetings held since 2015
    - # of people working in ASI Performance Standard Certified facilities
    - # of ASI Board meetings since inception in 2016
    - # of ASI Standards Committee meetings since its inception in 2016
- ASI launched an ASI Certification Map that shows ASI Certified operations worldwide: https://aluminium-stewardship.org/asi-certification/map-of-asi-certifications/
- Since the launch of the ASI Standards, ASI has been collecting anecdotal evidence and feedback through on-site investigation and interviews from ASI Members as to how their implementation of the ASI Standards and process of certification has demonstrated changes in their operations and beyond. The results are used to create the Stories of Change, which can be found on our website here: https://aluminium-stewardship.org/why-aluminium/asi-outcomes-impacts/asi-story-of-change-series/
- All reports and evaluations are published on the ASI website to uphold ASI's commitment to transparency.

Improving the Effectiveness of the M&E system

- Learning and improving is a core objective of ASI's M&E program. It is anticipated that both the process of rolling out the M&E Plan, and reviewing and reflecting on its findings, will yield valuable insights to all relevant parts of ASI's activities.
- From past experience, these are anticipated to include the nature and wording of Standards requirements, the assurance model, the relevant data and indicators to assess impacts, the training and capacity building provided to companies, auditors and stakeholders by ASI and others, and learning opportunities for the ASI Secretariat, Working Groups, Committees and the Board which will feed into broader strategies and plans.
- For example, the ASI Board currently conducts an annual governance survey with members and staff to seek feedback on performance through the year and identify opportunities for improvement. The results are discussed by the ASI Board and Governance Committee, relevant actions identified, and a summary report shared with members that includes these as well as a report on completed actions from the previous year. The M&E program will adopt similar principles for internal learning and improvement.
- In addition, ASI will publish reports on its M&E activities and analyses, and seek input from stakeholders internal and external to ASI on how to maximize the learning and improvement opportunities.

Publicly Available Information about the M&E System

- See the ASI Outcomes and Impacts web page (https://aluminium-stewardship.org/why-aluminium/asi-outcomes-impacts/ for information about:
    - ASI Outcomes Dashboard and what we have achieved so far
    - ASI M&E Plan

- o The latest version of this System Report
- o How to contact ASI to discuss M&E
- The ASI Theory of Change can be found here: https://aluminium-stewardship.org/why-aluminium/asi-theory-of-change/
- Published ASI Stories of Change can be found on this web page: https://aluminium-stewardship.org/why-aluminium/asi-outcomes-impacts/asi-story-of-change-series/
- Planned, completed and in-progress outcome and impact evaluations can be found here: https://aluminium-stewardship.org/why-aluminium/outcome-impact-evaluations/
- Opportunities for stakeholder engagement and input will be advised through the monthly ASI newsletter as they become available. To opt-in to the newsletter, sign up at: https://aluminium-stewardship.org/stay-informed/
- We welcome your input into the development of ASI's M&E Program! Contact us at info@aluminium-stewardship.org.