

ASI Standards – 2021 Consultation Round I – Overview

01 March 2021 – 30 April 2021

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In this document: Find out what you need to know about the development of ASI's certification program and opportunities to provide input and feedback in the 2021 Round 1 consultation period.

1. About ASI

The Aluminium Stewardship Initiative (ASI) is a not-for-profit standards-setting and certification organisation whose mission is to recognise and foster the responsible production, sourcing and stewardship of aluminium. As a member-based, multi-stakeholder global initiative, ASI is the result of producers, users and stakeholders in the aluminium value chain coming together to build consensus on 'responsible aluminium'.

ASI has developed an independent third party certification program to ensure sustainability and human rights principles are increasingly embedded in aluminium production, use and recycling. The ASI Certification program was launched in December 2017 and over 100 ASI Certifications have been issued so far. To find out more about ASI Standards, see: <https://aluminium-stewardship.org/asi-standards/>

2. Documents for 2021 Consultation Round 1

During 2020-2022, ASI is conducting a standards revision to review all of the 6 ASI Documents – Performance Standard and Guidance, Chain of Custody Standard and Guidance, Assurance Manual and Claims Guide – as outlined in the Standards Revision Terms of Reference (available on the [ASI website](#)). The revision will include two rounds of consultation, with opportunities for all members and stakeholders to have input.

In March 2021, ASI is opening the Round 1 public consultation period for all stakeholders to review and comment on the following draft documents:

- ASI Performance Standard – Version 3 (draft 1) and accompanying Guidance
- ASI Chain of Custody Standard – Version 2 (draft 1) and accompanying Guidance
- ASI Assurance Manual – Version 2 (draft 1)
- ASI Claims Guide – Version 2 (draft 1)
- ASI Glossary – Version 1 (draft 1).

The public consultation period is open for 60 days.

3. Revision Timetable

Key dates for consultation and finalisation of ASI's normative documents are:

- ASI Standards – public consultation round I on latest drafts of Performance Standard and CoC Standard – March-April 2021
- Standards Committee review of all feedback – May - August 2021

- ASI Standards – public consultation round II on latest drafts of Performance Standard and CoC Standard – September 2021
- Standards Committee review of all feedback – October 2021 - January 2022
- Board Adoption of final standards – target February 2022.

	Q1 2020	Q2 2020	Q3 2020	Q4 2020	Q1 2021	Q2 2021	Q3 2021	Q4 2021	Q1 2022
Development of the Terms of Reference	[Blue bar]								
Terms of Reference Consultation		60 DAYS							
Review of TOR Consultation Feedback			[Blue bar]						
Revision Documents Preparations	[Blue bar]								
Revision Documents Consultation Round 1					60 DAYS				
Review of Consultation Round 1 Feedback					[Blue bar]				
Revision Documents Consultation Round 2							30 DAYS		
Review of Consultation Round 2 Feedback							[Blue bar]		
Committee approval, Board Adoption									Target

4. About ASI Standards

The **ASI Performance Standard** covers critical issues for the entire aluminium value chain including biodiversity management, Indigenous People’s rights, greenhouse gas emissions, waste management, human rights, including gender equity, and material stewardship.

The ASI Performance Standard (Version 1) was published in December 2014. It was developed with a multi-stakeholder Standard Setting Group, comprised of interested parties with a broad representation of interests in the key issues addressed by the standard. The International Union for Conservation of Nature (IUCN) acted as coordinator of the standard-setting process.

The approved ASI Performance Standard Version 2 was developed with the ASI Standards Committee in 2017. It included minor updates to integrate the ASI Performance Standard into the broader ASI certification program and was not intended as a major revision of the intent or scope of the Standard’s performance requirements.

The draft ASI Performance Standard Version 3 being published for consultation was developed with the ASI Standards Committee in 2020/21 based on experience and feedback received since the launch of the ASI certification system in 2017. Changes in this version include:

- Expanded requirements for environmental, social and human rights impact assessments (Criteria 2.5 and 2.6)
- A new requirement for suspended operations (Criterion 2.8)
- Revised greenhouse gas (GHG) criterion (see section 7 below and Principle 5)
- A new requirement for companies to report waste to ASI (Criterion 6.9)
- The inclusion of ecosystem services identification and management (Criteria 8.1 and 8.3)
- A new requirement on Protected Areas (Criterion 8.6)
- Replacement of the Women’s Rights Criterion with a Criterion on Women’s Equity and Empowerment (Criterion 9.2), as well as a strengthening of the gender lens throughout the Standard
- Expanded Criterion on free, prior, informed consent for mining operations (Criterion 9.4)
- Alignment with the LME responsible sourcing requirements (Criterion 9.8)
- Greater transparency and disclosure requirements throughout

- Increased requirements for regularly reviewing the effectiveness of the plans/policies throughout
- Expansion of the applicability of Principles 1-3 and 5-11 to the material conversion and other manufacturing supply chain activities (see Section 6 below and the Assurance Manual, Section 4.3 for details on implementation).
- Enhanced **Guidance** documents to support interpretation and implementation.

The **ASI Chain of Custody (CoC) Standard** aims to link responsible production with responsible sourcing and support increased emphasis on sustainability in procurement practices. The CoC Standard drives implementation of the performance requirements defined in the ASI Performance Standard by enabling certified companies to move certified aluminium through the supply chain.

The approved ASI Chain of Custody Standard Version 1 was developed with the ASI Standards Committee in 2017.

- The draft ASI Chain of Custody Version 2 being published for consultation was developed with the ASI Standards Committee in 2020/21 based on experience and feedback received since the launch of the ASI certification system in 2017. Changes in this version include:
 - Expansion Criteria 3, 4 and 5 to include material that sourced via a trader
 - Inclusion of pre-consumer scrap that is sourced via closed loop recycling as a source of Eligible Scrap (Criterion 4.2)
 - Requirement for due diligence to be completed on traders (Criterion 7.2)
 - Elimination of the Market Credits system (previously Principle 11)
 - Development of a Supply Chain Assessment Tool (Appendix 1)
 - Enhanced **Guidance** documents to support interpretation and implementation.

5. About ASI Assurance and Claims

The **ASI Assurance Manual** sets out the principles, procedures and objectives for the assurance model that supports ASI Certification. It is for use by ASI Members and ASI Accredited Auditors when carrying out activities and responsibilities associated with ASI Certification.

The Assurance Manual Version 1 had been developed with the ASI Standards Committee in 2017 and was implemented in audits since the ASI launch.

The draft Assurance Manual Version 2 being published for consultation was developed with the ASI Standards Committee in 2020/21 based on experience and feedback received since the launch of the ASI certification system in 2017. Changes in this version include:

- A limit to the number of major non-conformances to three allowed for a provisional certification (Section 6.4)
- New Sections on selecting parties to interview and interviewing affected populations and communities (Sections 8.4.3 and 8.10.1)
- New and expanded guidance on audit level of effort (Section 8.6)
- Expansion of the requirements for the ASI audit report and the public summary audit report (Sections 8.18 and 8.19)
- Guidance on which Criteria may be evaluated in an off-site audit (Appendix 2)
- Updating for consistency and alignment with other ASI Documents and procedures, as well as *elementAI*, throughout.

The **ASI Claims Guide** sets out the rules and supporting guidance for the types of claims made regarding ASI Certification and Membership. Like the other documents the approved Claims Guide was developed with the ASI Standards Committee in 2017 a revised in 2020/21 by the Standards Committee. Changes in this version include:

The draft Claims Guide Version 2 being published for consultation was developed with the ASI Standards Committee in 2020/21 based on experience and feedback received since the launch of the ASI certification system in 2017. Changes in this version include:

- A new section on claims by ASI auditors and registered specialists (Section 2.7)
- Clarity on the use of translated logos (Section 3.5)
- Examples of claims (Appendix 1).

6. Certification Scope and Membership Classes

ASI members in the Production and Transformation and Industrial Users classes are subject to minimum certification requirements as a condition of their membership. Members in these classes must achieve certification against applicable requirements of the ASI Performance Standard for at least one facility or product line within two years of joining ASI.

When the ASI certification system was launched in 2017 ASI members with Material Conversion facilities had different certification requirements depending on their membership class:

- Production and Transformation members carrying out Material Conversion opted to apply all 59 criteria of the Performance Standard to these activities, and not just the Material Stewardship criteria.
- Industrial Users members have opted to apply only the Material Stewardship criteria in the ASI Performance Standard to their Material Conversion activities. However, if additional supply chain activities (e.g. Semi-Fabrication) are included in the Entity's Certification Scope then the associated criteria in the Performance Standard will be applicable to those activities.

When ASI updated its Constitution in 2019, changes were made so that applicability of different aspects of the ASI Standards to different supply chain activities would be determined within the standards themselves, rather than defined by membership class in the Constitution. The Standards Committee have thus proposed the following changes for consultation:

- Facilities currently certified to Principle 4 of the Performance Standard will be required to demonstrate conformance to Principles 1-4 of the Performance Standard in their surveillance audit. This audit can be conducted remotely.
- Facilities which are not yet certified will be required to demonstrate conformance to Principles 1-4 in their certification and surveillance audit(s). The certification audit must be conducted on-site though the surveillance audit(s) may be conducted remotely.
- Following this phase-in period, all Facilities will be required to demonstrate conformance to the entire Performance Standard in their next recertification Audit.
- This recommendation will be phased in over a multi-year period, see the table below.

		2022	2023	2024	2025	2026	2027	2028	2029
Certified Facility A	Audit Type		Recert		Surv	Recert		Surv	Recert
	Certification Scope		P1-11		P1-11	P1-11		P1-11	P1-11
Certified Facility B	Audit Type		Surv	Recert		Surv	Recert		Surv
	Certification Scope		P1-4	P1-11		P1-11	P1-11		P1-11
	Audit Type	Cert		Surv	Cert		Surv	Recert	

Uncertified Facility A	Certification Scope	P1-4		P1-4	P1-11		P1-11	P1-11	
Uncertified Facility B	Audit Type		Cert		Surv	Cert		Surv	Recert
	Certification Scope		P1-4			P1-11		P1-11	P1-11
Uncertified Facility C	Audit Type			Cert		Surv	Cert		Surv
	Certification Scope			P1-4		P1-4	P1-11		P1-11
Uncertified Facility D	Audit Type				Cert		Surv	Cert	
	Certification Scope				P1-4		P1-11	P1-11	
Uncertified Facility E	Audit Type					Cert		Surv	Cert
	Certification Scope					P1-4		P1-11	P1-11

ASI welcomes questions and comments on this aspect of its program design, as part of the consultation.

7. Greenhouse Gas Emissions

The existing requirements of the greenhouse gas emissions (GHG) criteria in Version 2 of the ASI Performance Standard relating to the disclosure of material GHG emissions, management system and operating controls remain. However, many of the existing criteria have been re-written to provide for an overall stricter standard in relation to GHG emissions reduction through the following new requirements:

- The existing emissions intensity threshold of 8t/t for aluminium smelters for Scope 1 and 2 emission types, has been revised to also now include Scope 3 emissions, which equates to 12t/t for primary metal
- All aluminium smelters are required to establish a GHG emissions reduction plan that is consistent with a below 1.5 degree warming scenario
- All smelters must also demonstrate minimum emissions reduction requirements
- All Entities will be required to develop an emissions reduction pathway that includes intermediate reduction targets
- A requirement for all certified Entities to reduce GHG emissions over time
- A requirement for all certified Entities to publicly disclose their GHG emissions reduction performance
- All publicly disclosed GHG emissions data must be independently verified.

In the current absence of an internationally accepted methodology that is compatible to all Members throughout the aluminium supply chain, the criteria will not require certified Entities to commit to a single methodology when developing science-based targets and reduction pathways.

8. Providing feedback

Please submit comments and feedback by April 30, 2021.

ASI warmly welcomes your questions, feedback and input. Supplementary information, including:

- A comment form (ASI kindly requests that written feedback be provided in English, French or Chinese)
- An overview video
- French and Chinese translations of the documents for consultation are available at: www.aluminium-stewardship.org.

All input can be emailed to: consultation@aluminium-stewardship.org.

Additionally, ASI will be hosting two webinars on 9 March, 2021 at 10:00pm CET and 11 March, 2021 at 12:00pm CET.

You may register [here](#) for the 9 March, 2021 webinar or [here](#) for the 11 March, 2021 webinar.

If you'd like to make a time to discuss your feedback, please let us know!

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