ASI Standards Revision – Second and final consultation overview documents

Key takeaways

- **Consultation period dates:** 7 January 2022 – 6 February 2022 (30 days)
- **Consultation documents:** Performance Standard and Guidance, Chain of Custody Standard and Guidance, Assurance Manual and Claims Guide, as well as a new Glossary
- **How to participate:** submit your completed Excel workbook comment form to consultation@aluminium-stewardship.org

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 150 ASI Certifications have been issued to date. More on the ASI Standards: [https://aluminium-stewardship.org/asi-standards](https://aluminium-stewardship.org/asi-standards)

2. Documents for second and final consultation period

During 2020-2022, ASI has been conducting a process to review and update all of the 6 ASI Documents – Performance Standard and Guidance, Chain of Custody Standard and Guidance, Assurance Manual and Claims Guide, as well as a new Glossary – as outlined in the Standards Revision Terms of Reference (available on the [ASI website](https://aluminium-stewardship.org/asi-standards)).

Starting on January 7, 2022, this second and final consultation period provides opportunities for all members and stakeholders to review and comment on the following draft revised documents:
- ASI Performance Standard – Version 3 (draft 2) and accompanying Guidance
- ASI Chain of Custody Standard – Version 2 (draft 2) and accompanying Guidance
- ASI Assurance Manual – Version 2 (draft 2)
- ASI Claims Guide – Version 2 (draft 2)
- ASI Glossary – Version 1 (draft 2).

The public consultation period is open for 30 days and ends on February 6, 2022.

Throughout the documents all proposed amendments to published versions are included as tracked changes, but changes made to drafts since the first public consultation (2021) are highlighted in blue.
3. Revision Timetable

Looking forward, key dates for consultation and finalisation of ASI’s normative documents are:

- Standards Committee review of all feedback, Legal review and translation – February – April 2022
- Board Adoption of final standards – April 2022.
- Publication of final documents in German, Japanese, Spanish, Portuguese – Q3 2022.

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<th>Quarter</th>
<th>Q1 2021</th>
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Following publication of the revised normative texts (the Performance and Chain of Custody Standards) and supporting documents, ASI will initiate a process of regular, periodic updates to the supporting documents to ensure that Guidance is reviewed, amended and remains in step with shifting requirements from certifying Entities, Auditors, other Stakeholders and the rapidly changing sustainability landscape.

4. About the ASI Standards and the key proposed revisions

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.

Proposed amendments to the 2017 Version 2 are included as tracked changes, but changes made to drafts since the first public consultation (2021) are highlighted in blue.

The draft ASI Performance Standard Version 3 consultation document was developed with the ASI Standards Committee, taking into account feedback received during the first consultation round in 2021. Changes in this version include:

- Improved consistency in language and defined terms throughout
- Clarity on application of criteria to specific supply chain activities and on applicability to
new projects and major changes

- Increased requirements for regularly reviewing the effectiveness of the plans/policies throughout
- Expanded requirements for transparency and public disclosure throughout
- Revised greenhouse gas (GHG) criteria (see section 7 below and Principle 5)
- Removal of the proposed requirement for companies to report waste data to ASI (Criterion 6.9)
- Revised emissions and discharges criteria to include Area of Influence (Criteria 6.1 and 6.2)
- A further strengthening of the gender lens throughout the Standard
- Expanded reference to free, prior, informed consent to resettlement criterion (Criterion 9.6)
- Revised and expanded criterion on disciplinary practices (Criterion 10.6)
- Significant revision and strengthening of Principle 11 Occupational Health & Safety to align with requirements of ISO 45001 (Criteria 11.1, 11.2 and 11.3)
- 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.

Proposed amendments to the 2017 Version 1 are included as tracked changes, but changes made to drafts since the first public consultation (2021) are highlighted in blue.

The draft ASI Chain of Custody Version 2 consultation document was developed with the ASI Standards Committee, taking into account feedback received during the first consultation round in 2021. Changes in this version include:

- Clarity on application of criteria to specific supply chain activities, Entities and Facilities
- Simplification of CoC Material types, removing differentiation of Cold and Liquid Metal under ASI Aluminium
- Specified process inflows and outflows – Eligible Scrap only into Recycling processes
- Removal of reference to internal scrap remelting throughout
- Improved consistency in language and defined terms throughout – Input/Output reserved for CoC Material only crossing the Certification Scope boundary
- Significantly revised reporting requirements under Criterion 1.7, following internal review
- Removal of reference to Recyclable Scrap Material Accounting (previously Criterion 8.2) and simplification of Material Accounting System criterion for all materials (Criterion 8.1)
- Inclusion of recycled content as optional Sustainability data within CoC Documents (Criterion 9.3)
- Development of a Supply Chain Assessment Tool (Appendix 1)
- Significantly enhanced Guidance documents to support interpretation and implementation.
5. About ASI Assurance and Claims and the key proposed revisions

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.

Proposed amendments to the 2017 Version 1 are included as tracked changes, but changes made to drafts since the first public consultation (2021) are highlighted in blue.

The draft Assurance Manual Version 2 consultation document was developed with the ASI Standards Committee, taking into account feedback received during the first consultation round in 2021. 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 and revised in 2020/21 by the Standards Committee. Changes in this version include:

Proposed amendments to the 2017 Version 1 are included as tracked changes, but changes made to drafts since the first public consultation (2021) are highlighted in blue.

The draft Claims Guide Version 2 consultation document was developed with the ASI Standards Committee, taking into account feedback received during the first consultation round in 2021. 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. Proposed changes to Certification Scope with respect to 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 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.

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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 CO2e/t Al for aluminium smelters for Scope 1 and 2 emission types, has been revised to also now include Scope 3 (categories 1, 3 and 4) emissions, which equates to 11.0 t/t for primary metal
- All Entities are required to establish a GHG emissions reduction plan that is consistent with a below 1.5 degree warming scenario
- All Entities will be required to develop an emissions reduction pathway that includes intermediate reduction targets
- 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 midnight GMT of February 6, 2022. ASI welcomes your questions, feedback and input. Supplementary information, including:

- A comment form in Microsoft Excel format (ASI kindly requests that written feedback be provided in English, French or Chinese). Two versions of the excel spreadsheet are available:
  - Macro enabled: why it’s better to use this
  - Macro disabled

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

9. Consultation overview webinars

ASI will be hosting two webinars on 13 January, 2022 to provide an overview of the key changes under consultation. Register for the webinar that best suits your time zone using the following links:

- Webinar 1: January 13, 2022 at 9am London (GMT), 5pm Beijing
- Webinar 2: January 13, 2022 at 9pm London (GMT), 4pm New York

If you’d like to make a time to discuss your feedback, please let us know using the contact information below!

Contact information

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