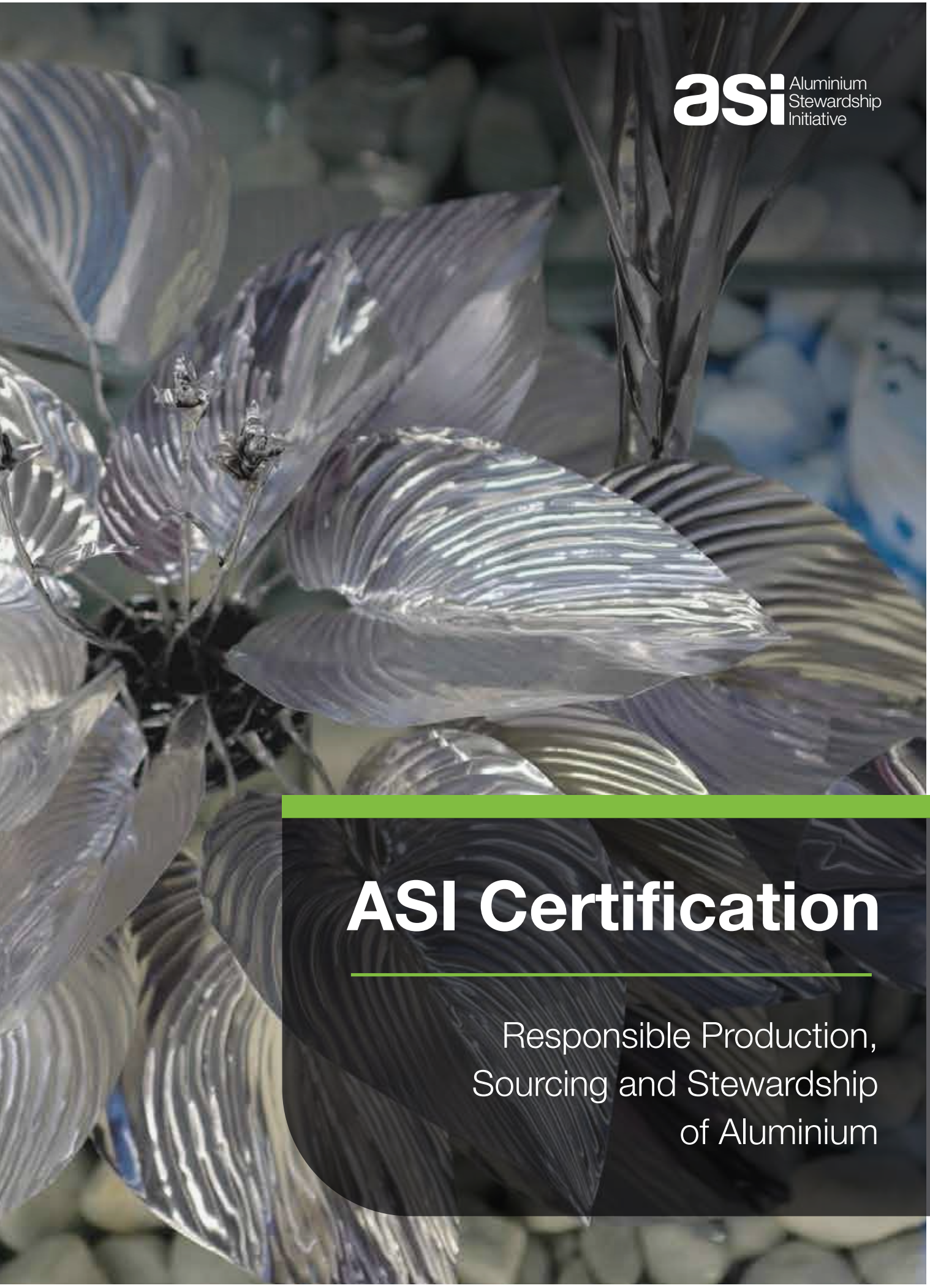


Aluminium Stewardship Initiative

ASI Certification

Responsible Production, Sourcing and Stewardship of Aluminium



About ASI

The Aluminium Stewardship Initiative (ASI) is a global non-profit standards setting and certification organisation. We bring together producers, users and stakeholders in the aluminium value chain with a commitment to maximise the contribution of aluminium to a sustainable society. Working together, we aim to collaboratively foster responsible production, sourcing and stewardship of aluminium.

Benefits of ASI Certification

Are you interested in producing or sourcing aluminium responsibly? Then ASI Certification can help you:

- Demonstrate independent assurance against rigorous standards for performance and chain of custody
- Meet customer expectations for good practices and enhance reputation
- Strengthen internal management systems on environmental, social and governance issues
- Bring transparency to supply chains and manage supply chain risks
- Share best practices and evidence of positive impact that will resonate with your stakeholders
- Build partnerships and relationships across the public, private and voluntary sectors
- Scale up progress on environmental and social issues through collective action.

ASI Membership is the first step

Before seeking ASI Certification, companies first need to join ASI as a Member and pay an annual membership fee. Your membership fee is scaled to the type, size and purpose of your organisation – more information can be found at https://aluminium-stewardship.org/join-asi/.

Membership fees are used by ASI to:

- Develop and continually improve the ASI certification program
- Provide training and support for members and independent auditors
- Manage the ongoing implementation and oversight of the program
- Operate ASI's member-based governance
- Support stakeholder outreach and communications
- Respond to emerging risks and opportunities.

asi
MEMBER

ASI Standards

ASI's Performance Standard covers critical issues for the entire aluminium value chain, including greenhouse gas emissions, waste management, material stewardship, biodiversity and human rights.

ASI's Chain of Custody (CoC) Standard links responsible production with responsible sourcing and increases the emphasis on sustainability issues in procurement practices. The primary purpose of the CoC Standard is to drive implementation of the performance requirements defined in the ASI Performance Standard.

ASI Guidance documentation for both Standards provides:

- Background into the risks or issues the Standard is attempting to manage or improve
- Explanation of special terms or processes
- Reference to other relevant international standards, guidelines and toolkits
- Examples of good practice with consideration of the size and maturity of the entity.

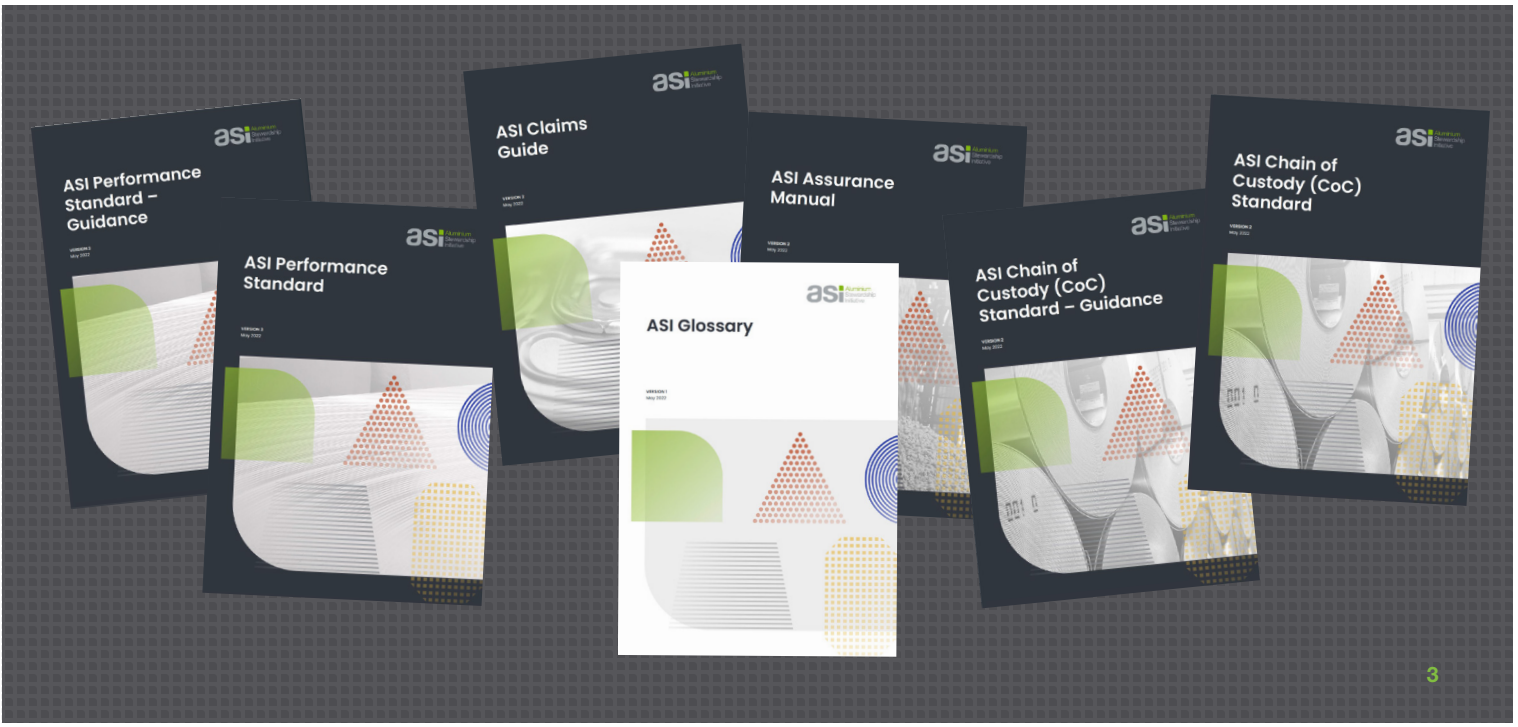
Supporting Documents

ASI's Assurance Manual sets out the principles, procedures and objectives for the assurance model that supports ASI Certification. It covers:

- The overall process for achieving ASI Certification
- How Members perform an initial Self Assessment to prepare for an Audit
- How Accredited Auditors conduct independent third party Audits to assess Conformance with ASI Standards
- General principles for conducting effective Self Assessments and Audits.

ASI's Claims Guide sets out the rules and supporting guidance for the types of claims made regarding ASI Certification and Membership. It covers:

- Claims relating to ASI Membership
- Claims relating to certification to the ASI Performance Standard
- Claims relating to certification to the ASI Chain of Custody Standard.



Steps to ASI Certification

Certification against ASI Standards requires independent third-party auditing by ASI Accredited Auditors to verify that an Entity's management systems and performance conforms to the relevant Standard/s. The certification process also establishes mechanisms for early identification of practices that may not be in conformance, and processes to track corrective actions and their implementation.

There are five main steps in the ASI Certification process:

Step one — Self Assessment

- Preparation stage for the Certification Audit.
- Conducted by the Member in accordance with their defined Certification Scope.

Step two — Certification Audit

- Conducted by an ASI Accredited Auditor who is an independent third party.
- Risk-based assessment of conformance.

Step three — Audit Report

- Auditor prepares Audit Report for ASI and Member.
- Member implements corrective action plan/s, where required.
- Where Certification achieved, Step 4 commences.

Step four — Certification Issued

- ASI reviews Audit Report for clarity and completeness.
- ASI issues Certification and updates ASI website.

Step five — Periodic Reviews

- Surveillance and Re-Certification Audits are conducted during/at end of Certification Period.
- These verify continued conformance and/or may assess other identified risks.



Applicability of individual criteria in ASI Standards is defined by the relevant supply chain activities and membership class of the member.

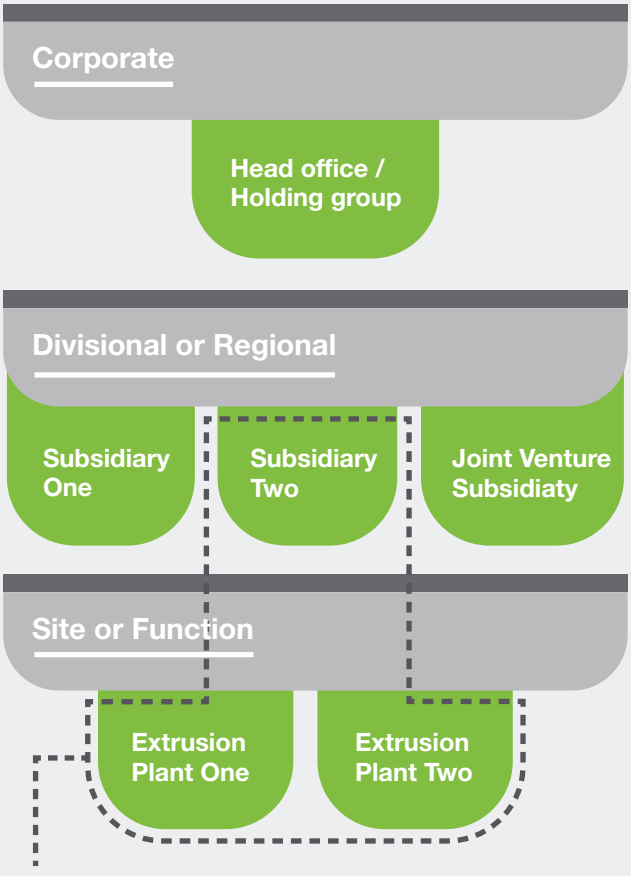
Certification Scope

The Certification Scope sets out what parts of a Business, Facilities and/or Product/Program are covered by an ASI Certification. This is sometimes also called the 'unit of certification'.

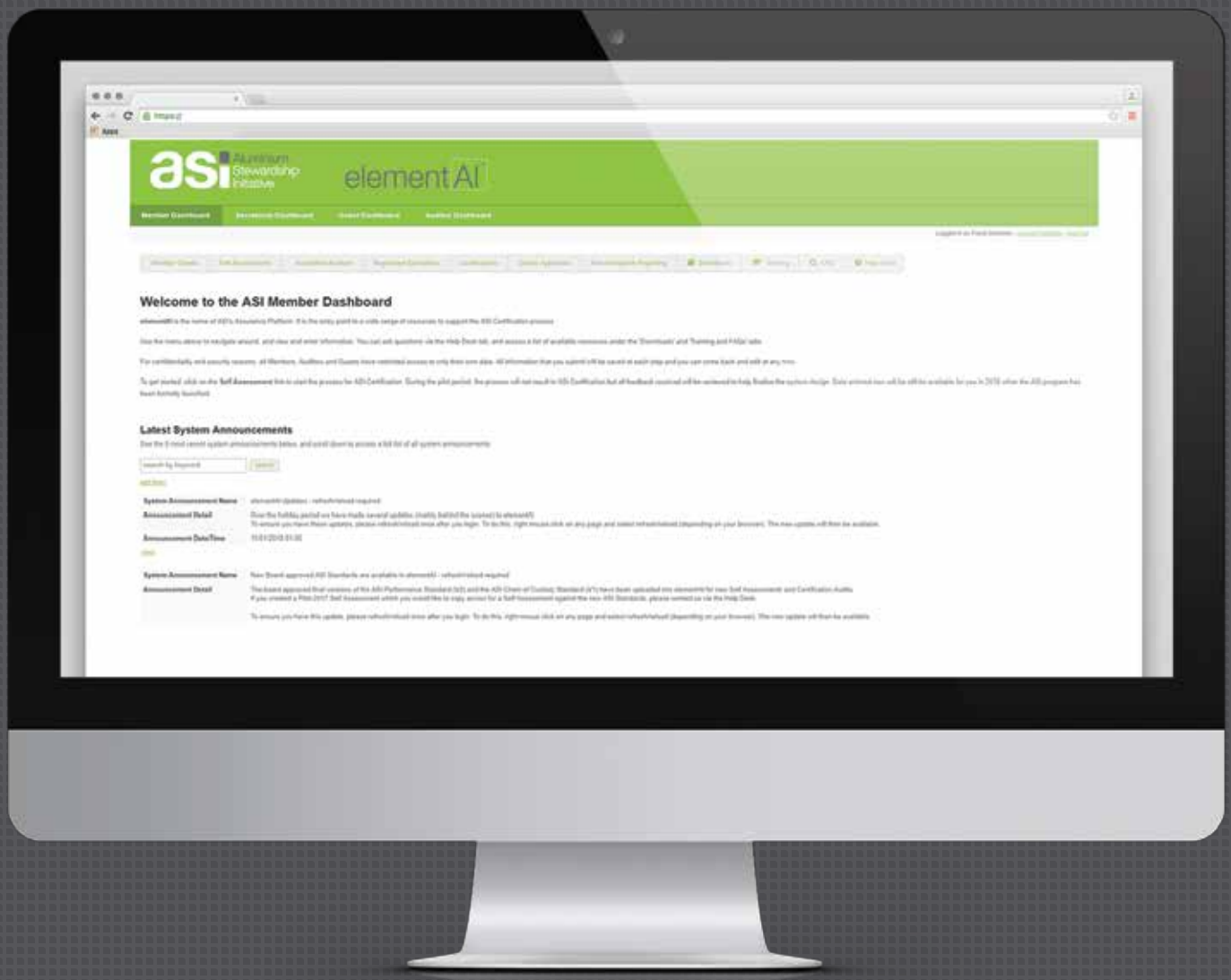
The Certification Scope needs to be clearly documented as part of the initial Self Assessment so that:

- The Member is clear what falls within the scope of an ASI Audit
- The Auditor is able to develop an appropriate Audit Plan
- A Member's Certification Scope is communicated clearly and accurately to stakeholders and business partners.

Applicability of individual criteria in ASI Standards is defined by the relevant supply chain activities and membership class of the member.



Example Certification Scope



elementAI[13]

A core part of ASI's assurance approach is to use tailored and innovative IT platforms to centrally manage the certification process and streamline data collection.

The cloud-based ASI Assurance Platform, known as "elementAI", is used to manage Self Assessments and Audits for both the Performance Standard and Chain of Custody Standard. Members are given login access to elementAI upon joining.

Central management of the ASI process and data provides the following benefits:

- Standardised assessment processes to enhance consistency
- Enhanced oversight of all Self Assessments and Audits to ensure consistency of implementation
- Efficient data collection for monitoring and evaluation of ASI's impacts
- Centralised platform for rolling out revisions to ASI Standards and/or the Assurance Manual
- Ability for ASI to track progress, monitor potential bottleneck issues, and identify areas where additional guidance or support are needed.

Get the support you need

When you join ASI, you join an initiative that aims to support your continuous improvement journey. ASI provides:

- Training and peer learning opportunities
- Online platforms with integrated help desk
- Comprehensive Guidance documents.

ASI's educationAl program is designed to orient you on the fundamentals of the program, and then continue to deepen your knowledge on key issues.

Evaluating impacts of ASI

ASI is building on its 'theory of change' with a monitoring and evaluation program that will evaluate the impacts of its program. The desired outcomes are to support uptake of the standards, ensure sustainability and human rights principles are increasingly embedded in the value chain, and enhance the sustainability credentials of aluminium – more information can be found at https://aluminium-stewardship.org/why-aluminium/theory-of-change/.

Manage the process

Consider designating an internal ASI Co-ordinator for the purposes of Self Assessment and Audits. The Co-ordinator's roles could include overseeing the following:

- Complete and/or delegate and co-ordinate Self Assessments
- Be a central point of contact and support for corporate documentation and any internally initiated corrective actions undertaken in advance of the audits
- Engage of the Auditor, once the Self Assessment is complete
- Assist the Auditor with additional information, relevant Facility contacts, and scheduling and logistics, as required
- Liaise with the ASI Secretariat on progress, as required.



Join us

Members' support and engagement provide the foundation and momentum for ASI's mission-driven program. We invite organisations from all parts of the aluminium value chain – companies, civil society groups, associations and other supporting organisations – to join our efforts to build a resilient, credible and value-adding ASI program for all stakeholders.



Vision

To maximise the contribution of aluminium to a sustainable society.

Mission

To recognise and collaboratively foster responsible production, sourcing and stewardship of aluminium.

Contact Us

Visit the ASI website or contact us to find out more about our work in progress and how you can join us:

W **www.aluminium-stewardship.org**

E **info@aluminium-stewardship.org**

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