

ASI Auditor Accreditation Procedure

Version 4 – December 2022

1. PURPOSE

This Procedure specifies the criteria and processes for accepting Conformity Assessment Bodies as ASI Accredited Auditing Firms and qualified persons as ASI Accredited Auditors.

Drawing from the ISEAL Assurance Code¹, the relevant desired outcomes of the ASI Auditor Accreditation Procedure are that:

- ***The ASI assurance system results in accurate assessments of compliance:***
 - *The assurance system is implemented consistently*
 - *The assurance system is implemented competently*
 - *The assurance system is implemented impartially*
- ***The ASI assurance system is accessible and adds value to clients:***
 - *Barriers to access are minimised*
 - *Information about how the assurance system operates is readily available*

2. SCOPE AND APPLICATION

ASI recognises that it carries overall responsibility for the effective functioning and ongoing improvement of the ASI assurance system. ASI retains the authority to define and oversee implementation of this procedure by the ASI Secretariat and other parties, including Applicants, ASI Accredited Auditing Firms and ASI Accredited Auditors.

ASI Accredited Auditing Firms and Applicants must provide all reasonable assistance to ASI, and procure that their ASI Accredited Auditors also provide all reasonable assistance to ASI, whenever requested by ASI to assist ASI to ensure the effective functioning and ongoing improvement of the ASI assurance system.

3. DEFINITIONS

Term	Definition
Accreditation Body	An organisation that accredits Conformity Assessment Bodies to ISO/IEC 17021, and/or ISO/IEC 17065 and/or other technical equivalent standard accreditation for conducting certification audits, with accreditation activities conducted in accordance with ISO/IEC 17011.
Alumina	A group of chemical compounds that comprise oxides of Aluminium in hydrated and anhydrous forms, the products of refinement of Bauxite ores. The main forms are Aluminium (III) oxide (Al ₂ O ₃), an input to the Aluminium Smelting process, and its precursor Aluminium hydroxide

¹ [ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards](#)

Term	Definition
	(Al(OH) ₃) - also known as Aluminium trihydrate or Alumina hydrate – which is used in chemical applications and transformed, via a calcination process, into metallurgical grade Alumina.
Alumina Refining	The process of extracting Alumina from Bauxite ore, generally by the Bayer process.
Aluminium	Aluminium is a chemical element with symbol Al and atomic number 13. It is a silvery-white, soft, nonmagnetic, ductile metal. Aluminium is the third most abundant element, and the most abundant metal in the Earth's crust. It can be pure or alloyed with other metals (Mg, Si, Mn, Cu, Zn, Fe, Cr and others). In ASI documents, the raw materials used to produce the metal (bauxite ore and alumina) as well as Aluminium alloys may be referred to as Aluminium in its generic meaning. ASI covers metallic Aluminium and not other forms of chemical compounds that may contain aluminium.
Aluminium Re-melting/Refining	Processes for recycling aluminium process scrap and used Aluminium products, which may include processes to improve the quality of secondary aluminium by removing unwanted elements or impurities.
Aluminium Smelting	The process of extracting aluminium from its oxide, alumina, generally by the Hall-Héroult process.
Aluminium Supply Chain Activities	Specific stages in the aluminium supply chain that ASI Accredited Auditors are able to carry out ASI Certification Audits, consisting of: <ul style="list-style-type: none"> • Bauxite Mining • Alumina Refining • Aluminium Smelting • Casthouses • Semi-Fabrication • Aluminium Re-melting / Refining • Material Conversion • Other Manufacturing or sale of products containing aluminium
APSCA	Association of Professional Social Compliance Auditors
ASI Accreditation	A recognition by ASI of the necessary competence to carry out ASI Audits.
ASI Accreditation Scope	The ASI Accreditation Scope is the extent to which an ASI Accredited Auditing Firm and/or ASI Accredited Auditor can conduct ASI Audits, defined by: <ul style="list-style-type: none"> • ASI Standards • Geographic Scope • Aluminium Supply Chain Activities • Relevant Knowledge • Lead Auditor status
ASI Accredited Auditing Firm	A Conformity Assessment Body meeting ASI's objective selection criteria and accredited to carry out ASI Audits.
ASI Accredited Auditor	A qualified person individually accredited by ASI who conducts ASI Audits on behalf of and under the responsibility of an ASI Accredited Auditing Firm.
Applicant	A Conformity Assessment Body applying for ASI Accreditation for the firm and/or auditors.
ASI Audit	Systematic, independent and documented process for obtaining and assessing objective evidence to determine the extent to which the requirements for ASI Certification are

Term	Definition
	fulfilled by an ASI Member. Audit types include Certification Audits, Surveillance Audits and Re-Certification Audits. <i>See the ASI Assurance Manual for more information.</i>
ASI Certification	An attestation issued by ASI, based on the results of an ASI Audit by an ASI Accredited Auditing Firm, that the required level of Conformance has been achieved against the applicable ASI Standard and for the documented Certification Scope.
ASI Secretariat Review	The review by the ASI Secretariat of an application by an Applicant for ASI Accreditation, or an application by an ASI Accredited Auditing Firm for an expansion of their current ASI Accreditation Scope, conducted under Stage 2 below.
ASI Standards	ASI Performance Standard and ASI Chain of Custody Standard.
Audit Report	Report on the ASI Audit generated by the ASI Accredited Auditing Firm and submitted to the ASI Member and to ASI via the ASI Assurance Platform, <i>elementAl</i> .
Audit Support Personnel	Non-auditing personnel affiliated to an ASI Accredited Auditing Firm, managing audit engagements, ASI liaison, or other administrative activities to support ASI Audits.
Audit Team	One or more ASI Accredited Auditors conducting an ASI Audit, supported if needed by Technical Experts.
Bauxite	Mined ore used to produce Alumina and Aluminium metal. It consists largely of hydrated Alumina with variable proportions of iron oxides. This includes Bauxite, nepheline and Aluminium oxides containing minerals and materials.
Bauxite Mining	Extraction of Bauxite from the earth for commercial purposes.
Board	ASI Board as defined in the ASI Constitution
Casthouse (and Casthouse Products)	Casthouse: Where molten aluminium in furnaces, usually sourced as Liquid Metal, Cold Metal and/or other alloying metals, is cast into specific Casthouse Products to meet customer specifications or supplied to a customer as Liquid Metal. Casthouse Products are defined in the ASI Chain of Custody Standard as Aluminium or its alloys in forms that include ingots, slabs, bars, billets, wire rod or other speciality products and which have a physical stamp or marking on or with the product that identifies the producing Casthouse and a unique identification number.
Certification Scope	The Certification Scope is defined by the Member and sets out what parts of a business, Facilities and/or Business Activities are covered by an ASI Certification.
CNCA	Chinese National Certification and Accreditation Administration.
Conformity Assessment Body (CAB)	An independent third-party organisation that undertakes conformity assessment techniques and activities, including audits.
Consultancy	Participation in designing, implementing, operating or maintaining management systems, products or services as they relate to a Member's Certification Scope.
<i>elementAl</i>	The online ASI Assurance Platform.
EA	European Co-operative for Accreditation.
Geographic Scope	Country or countries in which an ASI Accredited Auditing Firm and/or ASI Accredited Auditor is competent to conduct ASI Audits.
IAF	International Accreditation Forum.
IRCA	International Register of Certificated Auditors
Lead Auditor	A qualified person responsible for the overall conduct of an ASI Audit and who can lead an Audit Team.
Material Conversion	Further processing (for example cutting, stamping, bending, joining, forging, product casting, packaging production etc.) of Casthouse Products or semi-fabricated aluminium

Term	Definition
	products, into products or components that are used in or sold for final assembly or filling and sale to end consumers.
Member	An entity or group of entities that is a current member of one of ASI's six membership classes: <ul style="list-style-type: none"> • Production and Transformation (eligible for ASI Certification) • Industrial Users (eligible for ASI Certification) • Civil Society • Downstream Supporters • Associations • General Supporters
Other Manufacturing or sale of products containing Aluminium	The manufacture and/or sale of consumer or commercial goods containing aluminium in the: aerospace, automotive, construction, consumer durables, engineering, IT, and similar sectors; and organisations in the beverage, food, pharmaceutical and similar sectors that use aluminium in packaging for their products.
Oversight	Assessment of an assurance provider's demonstration of competence to carry out specific assurance tasks. <i>(adapted from ISO 17000, sourced from ISEAL Assurance Code V2.0)</i>
Registered Specialist	A person registered by ASI as being a Technical Expert that can support the implementation or assessment of ASI Standards. Registered Specialists may be used by Members and Auditors.
Relevant Knowledge	Expertise, skills and understanding in a nominated field or subject pertaining to the aluminium supply chain.
Semi-Fabrication	Rolling or extrusion of Casthouse Products, as an intermediate processing stage for subsequent Material Conversion and/or further downstream processing and manufacturing of finished products. Examples of semi-fabricated products include sheet, foil, and can stock; extruded rod, bar, shapes, pipe and tube; and other mill products such as drawing stock, wire, powder and paste.
Standards Committee	ASI Standards Committee as defined in the ASI Constitution
Technical Expert	A person who provides specific knowledge or expertise relevant to a given Certification Scope to support an Audit Team. <i>Note that:</i> <ul style="list-style-type: none"> • A Technical Expert cannot act as an Auditor on the Audit Team. • A Registered Specialist is a Technical Expert that has been recognised by ASI.

4. REFERENCES

- ASI Auditor Accreditation Application Form
- ASI Auditor Competence and Assessment Procedure
- ASI Assurance Manual
- ASI Performance Standard and Guidance
- ASI Chain of Custody Standard and Guidance
- ASI Claims Guide
- ASI Oversight Mechanism
- ASI Complaints Mechanism

- ASI Glossary
- ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards
- ISO/IEC 17011:2017. Conformity assessment – Requirements for accreditation bodies accrediting conformity assessment bodies
- ISO/IEC 17021-1:2015. Conformity assessment – Requirements for bodies providing audit and certification of management systems
- ISO/IEC 17065:2012. Conformity assessment – Requirements for bodies certifying products, processes and services
- ISO 19011: 2018. Guidelines for auditing management systems.

5. PROCEDURE

5.1. Process Overview

1. ASI Accreditation is aligned with the general intent of ISO/IEC 17011:2017 Conformity assessment – Requirements for Accreditation bodies accrediting conformity assessment bodies.
2. To be eligible for ASI Accreditation, Conformity Assessment Bodies (CAB's) and qualified persons must:
 - Be impartial, independent third parties to ASI and each of its Members that it audits.
 - Not be involved in ASI standards setting (other than as interested parties submitting comments during public consultation periods).
 - Not be involved in ASI's or any ASI Member's governance processes (for example, any decision-making or control of their activities).
 - Fulfil the relevant requirements of ISO/IEC 17021 for management system certification schemes, ISO/IEC 17065 for product certification systems or a technical equivalent standard for independent certification auditing recognised in this Procedure, or as approved by ASI on a case by case basis.
 - Fulfil the relevant requirements of ISO 19011:2018 as it relates to the skills and experience of the CAB's auditors.
 - Have a publicly available complaints and appeals process.
3. ASI uses 'proxy accreditation' as part of its criteria to assess Conformity Assessment Bodies that have been accredited against other scopes.
 - Independent accreditation bodies must be a member of the International Accreditation Forum or equivalent organisation and comply with the current version of ISO/IEC 17011.
 - They oversee ISO/IEC 17021 and/or ISO/IEC 17065 and/or other technical equivalent standard accreditation for Conformity Assessment Bodies.
 - They provide publicly available information on the accreditation status and scope of Applicant Conformity Assessment Bodies and ASI Accredited Auditing Firms, which is checked by ASI.
4. Conformity Assessment Bodies and qualified persons must meet all applicable requirements for ASI Accreditation before they can carry out any ASI Audits.
5. The ASI Accreditation process consists of five main stages, illustrated in Figure 1:

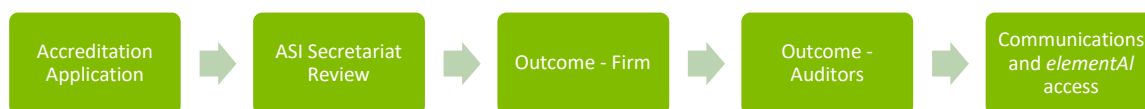


Figure 1 ASI Accreditation Process

6. Each Applicant for ASI Accreditation acknowledges and agrees that:
 - The governing law of its contractual arrangements with ASI is the law of Victoria, Australia, and that it submits to the jurisdiction of the Supreme Court of Victoria, Australia and the Courts which may hear appeals from that Court.
 - It is responsible for legal compliance with Applicable Law (as defined in the Glossary of the ASI Performance Standard), including applicable laws and regulations related to labelling, advertisement, and consumer protection and Antitrust Laws (applicable laws and regulations relating to antitrust and competition), at all times. ASI cannot accept liability for any violations of Applicable Law or any infringement of third-party rights made by other organisations.
7. The Applicant must indemnify ASI and each of its officers, employees, agents and contractors (**Personnel**) against any:
 - action, proceeding or claim whatsoever that may be brought against any of them; and
 - other liability, loss, injury, damage, cost or expense (including financial, indirect or consequential loss (including loss of reputation) and legal costs on a full indemnity basis) suffered or incurred by any of them, arising directly or indirectly out of or attributable to the conduct of the Applicant or any of its Personnel occurring at any time, except to the extent that the particular action, proceeding, claim, liability, loss, injury, damage, cost or expense is directly caused by the gross negligence or wilful default of ASI.
8. Any payment of a liability or other sum under this indemnity must be made whether or not legal proceedings are instituted, and if such proceedings are instituted, irrespective of the means, manner or nature of any settlement compromise or determination.
9. ASI holds the benefit of this indemnity on trust for itself and for each of its Personnel.

5.2. Stage 1 – Accreditation Application

10. A Conformity Assessment Body (CAB) that wishes to apply for ASI Accreditation must:
 - Complete the relevant sections of the ASI Auditor Accreditation Application Form (the ‘Application Form’) available from the ASI website.
 - Submit it with the required supporting documentation electronically to the ASI Secretariat to info@aluminium-stewardship.org
 - For CABs applying with more than one Auditor included in the application, all individual auditors must also meet the mandatory training and assessment requirements set out in the *ASI Auditor Competence and Assessment Procedure*.
11. An ASI Accredited Auditing Firm that wishes to expand their current ASI Accreditation Scope must:
 - Complete the relevant sections of the ASI Auditor Accreditation Application Form (the ‘Application Form’) available from the ASI website.

- Submit it with the required supporting documentation electronically to the ASI Secretariat to info@aluminium-stewardship.org
- For ASI Accredited Auditing Firms wishing to expand their current ASI Accreditation Scope with more than one Auditor, all individual auditors must also meet the mandatory training and assessment requirements set out in the *ASI Auditor Competence and Assessment Procedure*.

12. The ASI Secretariat will:

- Acknowledge receipt of an application.
- Acknowledge completion of the training and assessment requirements, if applicable.
- Invoice the CAB for any associated fees – see Schedule 1.
- Confirm when payment has been received.

5.3. Stage 2 – ASI Secretariat Review

13. The table below sets out the main steps in the ASI Secretariat Review stage.

Step	Focus	Timing
Initial review	Completeness and eligibility of application	Normally within 14 days of receipt, depending on the size and scope of the application.
Gaps/clarification (if identified)	Request the CAB to address any initial gaps or clarification necessary for the application before the review can continue.	With CAB.
Application review	Review application and supporting documentation against ASI's requirements in Schedules 2 and 3. Further clarification and/or information may be requested of the Applicant during this process.	Normally within 21 days of receipt, though may be longer if awaiting further clarification/information from CAB.

5.4. Stage 3 – Outcome for the Firm

14. The ASI Secretariat will make a decision regarding ASI Accreditation for the Applicant CAB (initial application) or ASI Accredited Auditing Firm (scope change application) and notify the Applicant or ASI Accredited Auditing Firm accordingly.

15. For ASI Accredited Auditing Firms, the new or expanded ASI Accreditation Scope will define:

- Geographic Scope
- ASI Standard(s) that can be audited
- Aluminium Supply Chain Activities

5.5. Stage 4 – Outcome for Auditors

16. The ASI Secretariat will make a decision regarding ASI Accreditation for the individual auditors associated with the initial or scope change application and notify the Applicant accordingly.

17. To become ASI Accredited Auditors, all individual auditors must also meet the mandatory training and assessment requirements set out in the *ASI Auditor Competence and Assessment Procedure* before they carry out ASI Audits.
 - When only one auditor is included in the initial or scope change application, the required training may either be undertaken in advance of the ASI Accreditation application, or following notification of ASI's decision on the application.
18. For ASI Accredited Auditors, the new or expanded ASI Accreditation Scope will define:
 - Geographic Scope
 - ASI Standard(s) that can be audited
 - Aluminium Supply Chain Activities
 - Relevant Knowledge
 - Lead Auditor status.

5.6. Stage 5 – Communications and *elementAI* access

19. Any outstanding fees must be paid by the CAB before public communication of ASI Accreditation outcomes by ASI.
20. For ASI Accredited Auditing Firms, the following information relating to the ASI Accreditation Scope will be posted or updated on the ASI website:
 - CAB Organisation Name
 - Name and contact details of person/s nominated by CAB as having responsibility for coordinating ASI Audits. (The CAB may choose to nominate more than one person to cover multiple countries or regions included in the ASI Accreditation Scope.)
 - ASI Standard(s) that can be audited
 - Geographic Scope
 - Aluminium Supply Chain Activities
21. All other information submitted by CABs in respect of ASI Accreditation will be kept confidential in accordance with the ASI Privacy Policy and will be used solely for the purposes of reviewing the application.
22. ASI Accredited Auditors and relevant Audit Support Personnel (see 5.7) will be provided with an *elementAI* user account, once any mandatory training requirements are completed.
23. ASI Accredited Auditing Firms are permitted to use the ASI Accredited Auditing Firm logo, and communicate that status to their clients, stakeholders and others during on promotional or marketing forums, consistent with the requirements set out in the awarded ASI Accreditation Scope, subject always to the general requirements of the ASI Claims Guide.

5.7. Audit Support Personnel

24. An application from a Conformity Assessment Body or ASI Accredited Auditing Firm may also nominate Audit Support Personnel who seek *elementAI* access to manage communications or process workflows with ASI Members, and/or internal document control and records management for the Firm.
25. Audit Support Personnel are not accredited to directly carry out ASI Audit activities. Non-mandatory ASI online training is also available to inform their administrative and support activities for ASI Audits as appropriate.

5.8. Identifying and engaging auditor personnel in countries or regions with no existing ASI Accredited Auditors

26. In countries where there is no pre-existing ASI Accredited Auditing Firm geographical coverage, and therefore no ASI Accredited Auditor personnel to operate in that country (or countries), a Member should identify one or more potential auditing firms (CAB) and auditor personnel, who are currently not ASI accredited, but may be in a situation, both geographically and through previous auditing experience, to undertake ASI audits.
27. Any non-ASI accredited audit firm and associated audit personnel (either as an employee or contractor) MUST both become ASI Accredited (as per the steps outlined in this procedure) before any ASI audit activity is to commence.
28. An ASI Member can approach either an existing ASI Accredited Auditing Firm or other CAB where it may have a prior auditing relationship to determine whether it has appropriate qualifications and/or candidates for ASI accreditation – noting in particular their supply chain activity experience, language competencies and appropriate in-country experience.
29. In the absence of any outcomes resulting from point 28 above, the Member may wish to also seek support from the ASI Secretariat with respect to identifying potential CAB and Lead Auditor candidates.
30. Subject to approval from the ASI Secretariat, in-country local support personnel can be used to support the Lead Auditor with local language, cultural and legislative context, however the Lead Auditor must also be able to demonstrate appropriate in-country experience.
31. Schedule 4 in this Procedure provides a decision-making flowchart to guide Members through this selection and approval process.

5.9. Consideration of exemptions relating to geographical accreditation

32. Where there are no available ASI Accredited Auditor personnel in the country(ies) of the Entity(ies) proposed for auditing to the ASI Standards, an ASI Accredited Auditing Firm may request an exemption to the geographical scope requirements for individual auditors, as described in Schedule 3 of this Procedure.
33. The ASI Director of Assurance will consider the request based on a number of factors, which include (but are not necessarily limited to) the following:
 - Overall auditing experience with the ASI Standards
 - Specific auditing and other related professional experience applicable to the supply chain activities in the certification scope
 - Local language capability
 - Access to local technical support personnel, including ASI Registered Specialists
 - Overall risk profile and setting of the Entity, including the nature of any open non-conformances
 - Auditor familiarity with an Entity's other facilities or businesses
 - Prior experience in the region and/or adjoining countries which have similar social, cultural and legislative settings to the country where the audited Entity is located.
34. The ASI Accredited Auditing Firm must have reviewed and followed the auditor identification process as outlined in Schedule 4 of this Procedure, and considered all current available options before discussing any exemption to geographical accreditation. The Director of Assurance will also make due consideration of these efforts in any approval of an exemption.
35. The ASI Accredited Auditing Firm should not presume that any requests for a geographical exemption will be agreed to by ASI and proceed with any audit preparatory activities, without receipt of written approval

from the Director of Assurance. Failure to seek prior approval may result in the auditor and/or audit firm being suspended.

36. Upon completion of the audit, the relevant auditor(s) can then apply for a scope change to their existing geographical accreditation to include the country of the completed audit.

5.10. ASI Oversight

37. ASI Accreditation status for ASI Accredited Auditing Firms and ASI Accredited Auditors will continue to be subject to the *ASI Oversight Mechanism*, available on the ASI website.

38. ASI Accreditation may be suspended or revoked if the action or inaction by the ASI Accredited Auditing Firm or ASI Accredited Auditor, in the opinion of the ASI Secretariat (in its absolute discretion):
- Materially affect the integrity of ASI assurance as set out in the ASI Assurance Manual.
 - Shows there is proven or suspected misconduct, particularly where this contravenes the basic principles identified in ISO 19011 regarding:
 - Integrity and ethical conduct
 - Fair presentation
 - Due professional care
 - Confidentiality
 - Independence
 - Evidence based approach to audits.

39. Applicants and ASI Accredited Auditing Firms have access to the ASI Complaints Mechanism and associated appeal processes.

5.11. Internal oversight and reporting

40. ASI Accredited Auditing Firms must maintain continued ISO/IEC 17021, and/or ISO/IEC 17065 and/or other technical equivalent standard accreditation for conducting certification audits to maintain their ASI Accreditation.

- Any material issues identified in internal reviews or external oversight assessments by the Accreditation Body/ies, and associated corrective actions, must be immediately reported to ASI.
- Any changes to the status of these accreditations must be immediately notified to ASI.

41. ASI Accredited Auditing Firms must carry out regular internal reviews against ASI's Accreditation Scope and the requirements of Schedules 2 and 3, and where material issues are identified immediately share the results and any remediation with the ASI Secretariat.

42. At any time, ASI Accredited Auditing Firms and ASI Accredited Auditors must immediately inform the ASI Secretariat of any changes to their organisation that may affect their ASI Accreditation Scope, capacity and competence to conduct independent ASI Audits. Changes may include (but are not limited to) changes relating to:

- Company details, including legal status, name, location, contact details, etc.
- Capacity to audit specific ASI Standards
- Countries where audits can be conducted
- Accreditation to ISO/IEC 17021, ISO/IEC 17065 or other approved technical equivalent (and relevant to ASI Accreditation Scope)
- Corrective action and subsequent follow-up for deficiencies identified during oversight assessment conducted by the CAB's accreditation body/ies

- Competency requirements of Auditors
- Removal of ASI Accredited Auditors (employees and contractors).

5.12. Annual renewal and fees

43. Each year, the ASI Accredited Auditing Firm is invited to renew its ASI Accreditation and in doing so to:
- confirm and warrant that the CAB and its auditors continue to meet the relevant mandatory requirements specified in Schedule 2 and 3 as applies to their ASI Accreditation Scope, and
 - agree to any changes to ASI's terms and conditions advised by ASI as part of the renewal process.
44. The ASI Secretariat will invoice the ASI Accredited Auditing Firm an annual fee in accordance with Schedule 1 to maintain their ASI Accreditation.

5.13. Roles and Responsibilities – ASI Secretariat

45. The table below sets out key roles and responsibilities within the ASI Secretariat for ASI Accreditation:

Role	Responsibilities
Director of Assurance	<ul style="list-style-type: none"> Overall management of ASI Accreditation processes. Identifying and actioning opportunities to improve ASI's systems.
elementAI Manager	<ul style="list-style-type: none"> Effective functioning of the <i>elementAI</i> platform generally, and activation of new <i>elementAI</i> users.
Learning Manager	<ul style="list-style-type: none"> Developing approaches and material for building and evaluating competence and supporting calibration processes for ASI Accredited Auditors and Registered Specialists.
CEO	<ul style="list-style-type: none"> Providing appropriate resources for accreditation processes to be carried out efficiently and effectively. Reporting any material issues or significant improvement opportunities to the Board. Approving new or updated procedures.

6. RECORDS

Records of applications and supporting information will be securely maintained by the ASI Secretariat for 5 years after the expiration of the accreditation status.

7. DOCUMENT CONTROL

Document Name	ASI Auditor Accreditation Procedure
Document ID	ASI-PRO-2
Revision	Version 4
Publication Date	December 2022
Approved By	ASI Board
Next Review Date	3 years or as required
Version history	<p>Version 1 – Issue 8 June 2017</p> <p>Version 1.1 – 19 February 2019, minor updates to address ISEAL Assurance Code V2</p> <p>Version 2 – Issued April 2020, updated to address ISEAL Assurance Code V2, add indemnity provisions, amend Schedule 1 fees and generally improve structure, flow and clarity.</p> <p>Version 3 – Issued July 2021, updated to provide Members guidance on procuring auditing personnel in countries/regions (summarised in Schedule 4), and disclosure to ASI of other potential conflicts of interest (Schedule 2, section C).</p> <p>Version 4 – Issued December 2022, updated (Section 5.9) to allow flexibility for auditors who are not formally accredited for a particular country, however can demonstrate to the ASI Secretariat that due to their specific level and breadth of experience (including regional experience) can perform ASI audit services for a country they are not currently accredited for; added Alumina and Bauxite definitions from ASI Glossary; added additional conflict of interest disclosure requirement (Schedule 2, section C).</p>

Please refer to the ASI Website for the latest version of this procedure.

Schedule 1: Fees and Charges

The following fees apply to all ASI Accreditation applications to cover processing and administration costs:

Purpose	Amount (USD)	Notes
Initial Application Fee	USD 600	Payable by CAB before application is critically assessed and reviewed.
Annual Renewal Fee	USD 400	Payable on the anniversary of being approved as an ASI Accredited Auditing Firm.
Scope Changes	No Charge	Changes to an ASI Accredited Auditing Firm and/or ASI Accredited Auditor's Accreditation Scope during a given year are covered by the Annual Renewal Fee.
Training - participation	No Charge for ASI's online training.	In-person training may also be offered from time to time, and applicable charges will be advised.
Training – examination fee	USD 32	Cost of on-line proctoring service for mandatory training exams. There is a US\$32 charge per person per exam, which is paid directly to the proctoring service when booking.
Complaints and external Oversight activities <i>including witness audits, or an investigation associated with incidents or complaints of ASI Accredited Auditing Firms and/or its ASI Accredited Auditors (if required)</i>	At cost	External expenses will be charged at cost including use of Technical Experts or other auditors (if required). Labour costs for the ASI Secretariat would not normally be charged.

Please note that all amounts do not include statutory charges and taxes, where applicable (these will be invoiced in addition). ASI reserves the right to adjust fees as it deems appropriate and reasonable.

Schedule 2: ASI Accreditation Requirements for Conformity Assessment Bodies (CAB's)

A. Proxy Accreditation

Mandatory	Optional/Encouraged
<ul style="list-style-type: none"> • ISO/IEC 17021 accreditation for management system certification schemes or an equivalent technical certification standard for management systems. <ul style="list-style-type: none"> ○ Accreditation must be demonstrated through independent assessment by an organisation that complies with the current version of ISO/IEC 17011 and is registered with European Co-operative for Accreditation (EA) or the International Accreditation Forum (IAF) or some other equivalent independent review. It cannot be demonstrated through a self-assessment, first party or second party audit. ○ Conformity Assessment Bodies that apply to include China in the Geographic Scope, need to demonstrate that they are recognised by the Chinese National Certification and Accreditation Administration (CNCA) (or an equivalent), or have a partnership with a Chinese CAB that hold ISO 17021 or ISO/IEC 17065 accreditation recognised by CNCA (or an equivalent). • For ASI Performance Standard, accreditation to cover at least one but preferably two of the following management standards: <ul style="list-style-type: none"> ○ ISO 14001 Environmental Management Systems: Requirements and guidance for use ○ ISO 45001 Occupational Health and Safety System Requirements (replacing OHSAS 18001) ○ ISO 9001 Quality Management Systems • For ASI Chain of Custody Standard, accreditation to cover at least one of the following management standards: <ul style="list-style-type: none"> ○ ISO 9001 Quality Management Systems and/or ○ ISO/IEC 17065 accreditation for product certification schemes (which includes processes and services) or an equivalent technical certification standard for product certification management systems. 	<p>For ASI Performance Standard:</p> <ul style="list-style-type: none"> • Accredited by a national accreditation body to ISO/IEC 17021 for certification of the following management standards: <ul style="list-style-type: none"> ○ ISO/IEC 37001 Anti bribery management systems ○ ISO/IEC 14065 Greenhouse Gases ○ ISO/IEC 37101 Sustainable development in communities -- Management system for sustainable development -- Requirements with guidance for use • Accreditation by Social Accountability Accreditation Services to conduct SA 8000 audits. <p>For ASI Chain of Custody Standard:</p> <ul style="list-style-type: none"> • Accreditation to conduct other chain of custody certification audits such as: <ul style="list-style-type: none"> ○ Responsible Jewellery Council Chain of Custody ○ Forest Stewardship Council Chain of Custody ○ Marine Stewardship Council Chain of Custody ○ Roundtable for Responsible Soy Chain of Custody ○ Bonsucro Chain of Custody ○ Roundtable for Sustainable Palm Oil Chain of Custody
<ul style="list-style-type: none"> • Geographic scope for ASI Accreditation will be aligned with: <ul style="list-style-type: none"> ○ The countries included in the CAB's ISO 17021, ISO/IEC 17065 (or technical equivalent) accreditation scope, and ○ The countries in which the CAB has auditors with relevant experience for that country (as per Schedule 3 Competency Requirements for Auditors Conducting ASI Audits). <p><i>For example, if a CAB holds ISO 17021 accreditation in countries A, B and C but only has auditors with relevant aluminium supply chain experience in countries A & B, then only countries A&B are eligible for ASI Accreditation. The CAB may expand its Geographic Scope to include country C when it has individual auditors with relevant aluminium supply chain experience in country C.</i></p>	

B. Aluminium Supply Chain Activities

Mandatory	Optional/Encouraged
<p>General: Capacity, experience and competence to service one or more of the Aluminium Supply Chain Activities nominated by the CAB for inclusion in the ASI Accreditation Scope.</p> <p><i>For example, if a CAB wants to apply to conduct ASI Audits at bauxite mines, then the CAB must provide evidence of its capability to audit Bauxite Mining and/or other similar mining experience.</i></p>	<ul style="list-style-type: none"> The CAB is also accredited to other mineral/extractives supply chain initiatives such as: <ul style="list-style-type: none"> RJC Accredited Auditors Responsible Minerals Assurance Process (RMAP) Approved Auditors Bettercoal Approved Assessor
<p>ASI Performance Standard: Capacity, experience and competence in each of the three sustainability areas built into the structure of the ASI Performance Standard:</p> <ul style="list-style-type: none"> Governance Environmental Social 	<ul style="list-style-type: none"> The CAB is a: <ul style="list-style-type: none"> Member of Association of Professional Social Compliance Auditors (APSCA) Registered SEDEX Audit Company.

C. Quality and Impartiality

Mandatory	Optional/Encouraged
<p>Documented Quality Manual and Procedures that describe how the following minimum requirements from ISO/IEC 17021:2011 are managed and regularly reviewed, in relation to the conduct of ASI Audits in accordance with the ASI Assurance Manual:</p> <ul style="list-style-type: none"> 4.2 Impartiality and 5.2 Management of Impartiality 4.3 Competence, including how the ASI Accredited Auditor identifies plans and conducts training to maintain the competence, knowledge, skill set and ongoing professional development of its individual auditors and Support Personnel (e.g. administrative staff) (training may include external, internal and/or on the job training and training must account for auditor calibration) 4.6 Confidentiality and 8.4 Confidentiality 4.7 Responsiveness to complaints 6.2 Operational Control 7 Resource Requirements including calibration and quality of audits conducted by different auditors whether they are employees or contractors to the CAB 9 Process requirements 10 Management system requirements for certification bodies (Option A or Option B) 	<p>These may be stand alone for ASI or integrated into general documentation.</p>
<p>Statement identifying any Members for which the CAB has provided consultancy relating to any aspects covered by the ASI Standards in any form within the last 3 years, or any other relevant conflicts of interest. The CAB should disclose any fees received from any ASI Member(s) it has undertaken work for over the previous 3 years.</p>	

Schedule 3: Competency Requirements for Auditors Conducting ASI Audits

A. Qualifications and Experience

Mandatory
<p>General qualifications:</p> <ul style="list-style-type: none"> • Secondary education • Recognised formal auditor training • Registered with IRCA (or demonstrate conformance with IRCA requirements) or an equivalent registration • Fluent in English (written, spoken, comprehension), as ASI's official language is English. • For social auditors, it is recommended that they hold APSCA registration. <p><i>Secondary education is that part of the national educational system that comes after primary or elementary stage, but that is completed prior to entrance to a university or similar educational institution.</i></p> <p><i>Recognised auditor training must be competency based and delivered by a registered and qualified training organisation for auditor training.</i></p>
<p>Experience:</p> <ul style="list-style-type: none"> • At least 5 years total work experience. • At least 2 years of the total five years' work experience with governance, environmental, social and/or quality management systems. • Within the last 3 consecutive years, four complete audits for a total of at least 20 days of audit experience under the direction and guidance of a Lead Auditor. <p><i>Audit days only applies to time on site. It excludes preparation (for example planning) and post audit follow-up activities (for example reporting).</i></p>
<p>Affiliation:</p> <ul style="list-style-type: none"> • Auditors must be employees or sub-contractors of the CAB.

B. Relevant Knowledge

Mandatory
<p>Local Knowledge:</p> <ul style="list-style-type: none"> • Relevant experience in countries applied for in ASI Accreditation Scope. • Knowledge of local customs and practices. • Familiarity with local language. • For Performance Standard: Applicable Law and regulations for relevant jurisdictions in governance, social and environmental topics of the ASI Performance Standard, including: <ul style="list-style-type: none"> ○ Anti-corruption ○ Environmental protection including emissions and hazardous waste management ○ Social management including human rights and labour rights ○ Conflict Affected and High Risk Areas • For Chain of Custody Standard: Applicable Law and regulations for relevant jurisdictions including: <ul style="list-style-type: none"> ○ Anti-corruption including management of cash payments ○ Social management including human rights and Conflict Affected and High Risk Areas ○ Product claims and labelling
<p>ASI Performance Standard – Aluminium Supply Chain Activities</p> <p><i>Bauxite Mining</i></p> <ul style="list-style-type: none"> • Mine Rehabilitation • Biodiversity management <p><i>Alumina Refining</i></p> <ul style="list-style-type: none"> • Bauxite residue management <p><i>Aluminium Smelting</i></p>

<ul style="list-style-type: none"> Greenhouse gases Spent pot lining (SPL) management <p><i>Aluminium Refining/Re-melting</i></p> <ul style="list-style-type: none"> Material stewardship and Recycling Greenhouse gases Dross/waste management <p><i>Casthouses</i></p> <ul style="list-style-type: none"> Greenhouse gases Dross/waste management <p><i>Semi-fabrication, Material Conversion and Other Manufacturing</i></p> <ul style="list-style-type: none"> Material stewardship and Recycling (e.g. life cycle analysis and sustainability in product design, manufacture and recycling) <p><i>Where Indigenous Peoples are relevant to an ASI Audit</i></p> <ul style="list-style-type: none"> Indigenous Peoples Rights including Free Prior and Informed Consent
<p>ASI Chain of Custody Standard</p> <p><i>All sectors</i></p> <ul style="list-style-type: none"> Material accounting systems (quality control and assurance) <p><i>Aluminium Smelting, Aluminium Refining/Re-melting, Casthouses, Semi-fabrication, Material Conversion and Other Manufacturing</i></p> <ul style="list-style-type: none"> Greenhouse gases

C. Lead Auditor

Mandatory
<p>Additional experience required:</p> <ul style="list-style-type: none"> Lead auditor training provided by an accredited agency/provider. At least three complete audits for a minimum total of 15 days of audit experience acting in the role of a Lead Auditor. The audits should be completed within the last 2 consecutive years. Subject to at least one witness audit in the last 2 years by the CAB or the CAB's Accreditation Body/ies.

Schedule 4: Selection and use of appropriate audit personnel in countries with no current ASI Accredited Audit Firm (AAF) presence

