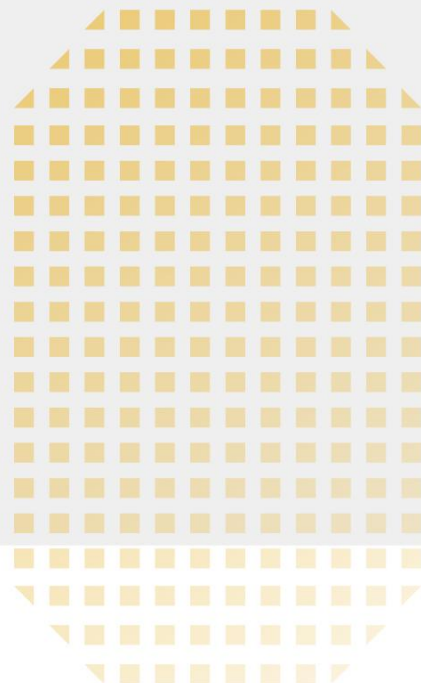
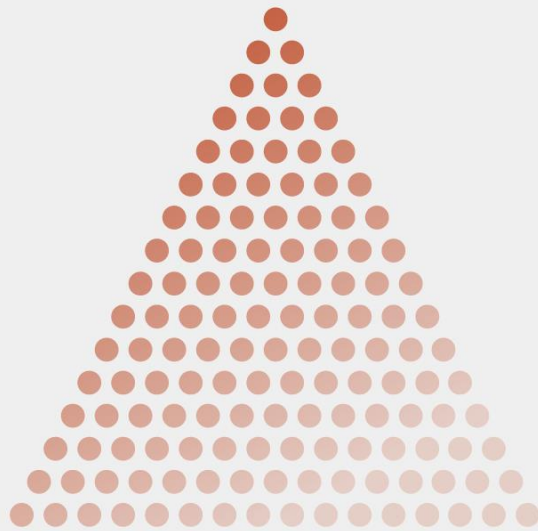


ASI Glossary

VERSION 1.1
April 2023



Aluminium Stewardship Initiative (ASI)

ASI is a not-for-profit standards setting and certification organisation for the aluminium value chain.

Our **vision** is to maximise the contribution of aluminium to a sustainable society.

Our **mission** is to recognise and collaboratively foster responsible production, sourcing and stewardship of aluminium.

Our **values** include:

- Being inclusive in our work and decision making processes by promoting and enabling the participation of representatives in all relevant stakeholder groups.
- Encouraging uptake throughout the bauxite, alumina and aluminium value chain, from mine to downstream users.
- Advancing material stewardship as a shared responsibility in the lifecycle of aluminium from extraction, production, use and recycling.

General Enquiries

ASI welcomes questions and feedback on this document.

Email: info@aluminium-stewardship.org

Telephone: +61 3 9857 8008

Mail: PO Box 4061, Balwyn East, VIC 3103, AUSTRALIA

Website: www.aluminium-stewardship.org

Disclaimer

This document does not intend to, nor does it, replace, contravene or otherwise alter the requirements of the ASI Constitution or any applicable national, state or local government laws, regulations or other requirements regarding the matters included herein. This document gives general guidance only and should not be regarded as a complete and authoritative statement on the subject matter contained herein. ASI documents are updated from time to time, and the version posted on the ASI website supersedes all other earlier versions.

Organisations that make ASI-related claims are each responsible for their own Compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that Compliance with an ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI will result in Compliance with any Applicable Law or will avoid any Breach from occurring.

The official language of ASI is English. ASI aims to make translations available in a range of languages and these will be posted on the ASI website. In the case of inconsistency between versions, reference shall default to the official language version.

Glossary

Accreditation	Recognition of an Auditor’s competence to carry out Audits and evaluate Conformance against an ASI Standard.
Accreditation Scope	The ASI Accreditation Scope defines the extent and boundaries that an Accredited Auditor is permitted to conduct ASI Audits characterised by: <ul style="list-style-type: none"> • ASI Standards; • Countries or regions; • Aluminium value chain sectors; • List of Auditors.
Affected Populations and Organisations	Affected Populations and Organisations include: <ul style="list-style-type: none"> • Indigenous Peoples; • Local Communities; • Other Rightsholders; • Stakeholders.
Alien Species	A species, subspecies or lower taxon, introduced outside its natural past or present distribution; includes any part, gametes, seeds, eggs, or propagules of such species that might survive and subsequently reproduce. (Secretariat of the Convention on Biological Diversity, 2002)
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 (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, which can include both Cold metal and Liquid metal, as well as cast products and not other forms of chemical compounds that may contain Aluminium.
Aluminium Process Scrap	Material containing Aluminium that is diverted from the waste stream from a manufacturing process or similar. (Adapted from ISO14021:2016) Note that the material may not necessarily be regulatory waste in any location that it is produced. Note that Aluminium Process Scrap can be considered Pre-Consumer Scrap under the ASI Chain of Custody Standard if the material has not been intentionally produced, is unfit for end-use and is not capable of being re-used in the same process that generated it.
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-Hérout process.
Applicable Law	The relevant international and/or national and/or state and/or local laws of the country or countries where the Entity operates. This may include, but is not restricted to, acts, regulations and statutory Policies. Where a conflict arises between Applicable Law and the requirements of the ASI Standards, the Entity should comply with the higher standard except where this would result in a violation of Applicable Law. (Adapted from Responsible Jewellery Council – Code of Practices 2013)
Area of Influence	Encompasses, as appropriate, areas likely to be affected by: (a) an Entity’s activities and Facilities, and/or impacts from unplanned but predictable developments that may occur later or at a different location, and/or indirect project impacts on Biodiversity or on Ecosystem Services upon which affected Communities’ livelihoods are dependent; (b) Associated Facilities, which are facilities not Controlled by the Entity but that would not have otherwise been constructed or expanded and without which the Entity’s activities would not be viable;

	<p>(c) cumulative impacts that result from the incremental impact, on areas or resources used or directly impacted by the Entity's activities, from other existing, planned or reasonably defined developments at the time the risks and impacts identification process is conducted.</p> <p>Examples for (a) include the project's sites, the airshed and watershed, or transport corridors, and indirect impacts include power transmission corridors, pipelines, canals, tunnels, relocation and access roads, borrow and disposal areas, construction camps, and contaminated land (e.g., soil, groundwater, surface water, and sediments).</p> <p>For (b), examples of Associated Facilities may include ports, dams, railways, roads, captive power plants or transmission lines, pipelines, utilities, warehouses, and logistics terminals.</p> <p>For (c), cumulative impacts are typically those impacts which in isolation may be considered small and/or incremental, however over time are recognised as important on the basis of scientific concerns and/or concerns from Affected Populations and Organisations, as the accrual of these small/incremental impacts leads to a significant impact/s over time.</p> <p>Examples of cumulative impacts include: incremental contribution of gaseous emissions to an airshed; reduction of water flows in a watershed due to multiple withdrawals; increases in sediment loads to a watershed; interference with migratory routes or wildlife movement; or more traffic congestion and accidents due to increases in vehicular traffic on Community roadways. (Adapted from International Finance Corporation (IFC) Performance Standard 1 – Guidance Notes)</p> <p>Notes:</p> <ul style="list-style-type: none"> • 'Area of Influence' is referenced in 7.1 (Water Stewardship), 8.1 (Biodiversity) and 9.5 (Cultural and Sacred Heritage), in relation to the Entity assessing impacts and managing risks in these areas for a given Certification Scope • Some activities and related impacts/risks in an Area of Influence may not be under the Control of the Entity. However, where required by these Criteria, these impacts and risks shall still be assessed by the Entity and, wherever practicable, mitigation measures and/or controls should be put in place • Associated Facilities which are part of an Entity's Area of Influence but not under the Entity's Control are not part of the Certification Scope. In other words, the <i>activities and related impacts/risks</i> of
--	--

	<p>Associated Facilities which are not under the Entity's Control are not factored into determining the Entity's Conformance.</p> <p>See also 'Associated Facilities'.</p>
Areas of High Biodiversity Value	<p>Areas that are recognised as being important for Biodiversity features by a number of governmental and non-governmental organisations. They are typically sites that contribute significantly to the global persistence of Biodiversity on land, in water or on the seas, and include habitats that are a priority for conservation (often defined in National Biodiversity Strategies and Action Plans prepared under the UN 'Convention on Biological Diversity'). The following are examples of internationally recognised approaches and standards that identify areas of high Biodiversity value: Key Biodiversity Areas and High Conservation Value Areas.</p>
ASI	Aluminium Stewardship Initiative Ltd.
ASI Accreditation	A recognition by ASI of the necessary competence to carry out ASI Audits.
ASI Accredited Auditor (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.
ASI Accredited Auditing Firm	A Conformity Assessment Body meeting ASI's objective selection criteria and accredited to carry out ASI Audits.
ASI Alumina	Alumina from a CoC Certified Entity that is produced and transferred in accordance with the ASI CoC Standard.
ASI Aluminium	Aluminium from a CoC Certified Entity that is produced and transferred in accordance with the ASI CoC Standard.
ASI Bauxite	Bauxite from a CoC Certified Entity that is produced and transferred in accordance with the ASI CoC Standard.
ASI Complaints Mechanism	<p>An ASI document that aims to ensure the fair, timely and objective resolution of complaints relating to ASI's Standards setting processes, Certification program, Auditor conduct and ASI Policies and Procedures. Available at:</p> <p>http://aluminium-stewardship.org/asi-complaints-mechanism/</p>

ASI Member	<p>An Entity or group of Entities that is a current Member of one of ASI’s six membership classes:</p> <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 <p>The use of the term ‘Member’ in the Performance Standard means an ASI Member in the ‘Production and Transformation’ or ‘Industrial Users’ classes.</p>
ASI Audit	<p>Systematic, independent and documented process for obtaining and assessing Objective Evidence to determine the extent to which the requirements for ASI Certification are fulfilled by an ASI Member. Audit types include Certification Audits, Surveillance Audits and Re-Certification Audits.</p>
ASI Certification (Certified)	<p>An attestation issued by ASI, based on the results of an Audit by an ASI Accredited Auditor, that the required level of Conformance has been achieved against the applicable ASI Standard and for the documented Certification Scope.</p>
ASI Secretariat	<p>Individuals employed or contracted by ASI to carry out Secretariat functions for the organisation. This includes responsibility for implementation of the ASI assurance system, including the Oversight Mechanism as noted.</p>
ASI Standards	<p>Includes the ASI Performance Standard and ASI Chain of Custody Standard.</p> <p>See also ‘Standard’.</p>
Associated Facilities	<p>Facilities that may or may not be funded as part of the project (funding may be provided separately by a client or a third party including the government), and whose viability and existence depend exclusively on the project and whose goods or services are essential for the successful operation of the project.</p> <p>See also ‘Area of Influence’.</p>
Associations	<p>An ASI membership class that is open to industry and other trade associations that represent commercial interests in any part of the</p>

	Aluminium value chain, such as Aluminium associations, green building councils, and downstream sector associations.
Assurance Manual	Instructions for Members and Auditors on how to carry out Self Assessments and Audits.
Audit	See ASI Audit .
Audit Plan	A plan, developed by an Auditor to outline what of the Member's Facilities and Business Activities within the documented Certification Scope will be reviewed, by whom, and when, and nominates which Member personnel should be involved.
Audit Report	Report on the Audit generated by the ASI Accredited Auditing Firm and submitted to the ASI Member and to ASI via the ASI Assurance Platform, <i>elementAI</i> .
Audit Scope	The Audit Scope is defined by Auditors and includes a selection of Facilities, Business Activities within the Member's Certification Scope, and a selection of Criteria considered to be the most relevant, taking into account the nature, scale and impact of the Member's Business.
Audit Team	One or more ASI Accredited Auditors conducting an ASI Audit, supported if needed by Technical Experts.
Auditor	See ASI Accredited Auditor .
B2DS	"Beyond Two Degree Scenario" according to the International Aluminium Institute for aluminium sector GHG emissions.
Baseline Conditions	The environmental and social conditions that exist prior to the development of a New Project or Major Change.
BAU	Business as Usual.
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.
Bauxite Residue	A residual waste generated in the Bayer process for Alumina Refining from Bauxite ore. It is mainly composed of iron oxides, titanium oxide, silicon oxide and undissolved Alumina, together with a wide range of

	<p>other oxides which will vary according to the country of origin of the Bauxite. (Adapted from IAI (2022) Bauxite Residue Management Guidance))</p>
Below 1.5°C Warming Scenario	<p>A global GHG Emissions scenario for the Aluminium sector to mid century that is aligned with total economy anthropogenic emissions reduction required to limit global average temperature change to 1.5oC above pre-industrial levels.</p>
Biodiversity	<p>The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part: this includes diversity within species, between species and of ecosystems. (Convention on Biological Diversity)</p>
Biodiversity Action Plan	<p>A plan to conserve or enhance Biodiversity.</p> <p>The Biodiversity Action Plan describes the composite of actions and a rationale for how the project’s mitigation strategy will achieve net gain (or no net loss), the approach for how the mitigation hierarchy will be followed, and the</p> <p>roles and responsibilities for internal staff and external partners. (from IFC Guidance Note 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources, GN91)</p>
Biodiversity Mitigation Hierarchy	<p>A tool which aims to help manage Biodiversity risk and is commonly applied in Environmental Impact Assessments (EIAs). It includes a hierarchy of steps: Avoidance, Minimisation, Rehabilitation, Restoration and Offset. (Adapted from Business Biodiversity and Offsets Programme (BBOP) & United Nations Environment Programme (UNEP) Finance Initiative, 2010)</p>
Bribery	<p>The offering, promising, giving, accepting or soliciting of an advantage as an inducement for an action which is illegal, unethical or a breach of trust. Inducements can take the form of gifts, loans, fees, rewards or other advantages (taxes, services, donations, favours etc.). (Adapted from Transparency International Anti-Corruption Glossary)</p>
Business	<p>An organisation or Business under the Control of a Member that is commercially involved in the Aluminium supply chain.</p>

Business Activity	A task, role, function or service relating to performance within the Member's defined Certification Scope. Business Activities may or may not be performed at a Facility within the Certification Scope.
CAB	see ' Conformity Assessment Body '.
CAHRAs	See ' Conflict-Affected and High-Risk Areas '.
Casthouse (Casting)	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	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 (Certified)	See ' ASI Certification '
Certification Audit	<p>A Certification Audit comprises the following:</p> <ul style="list-style-type: none"> • A preliminary desktop review of a Member's Self Assessment and other related information; • Development of an Audit Plan to identify the relevant Facilities and Business Activities to visit and assess; • Verification of Conformance through implementing the Audit Plan; • Preparation of an Audit Report for the Member and ASI.
Certification Period	The period of time that Certification is valid, after which time the Certification must be renewed through a Re-Certification Audit or new Certification Audit. Certification Periods are for one year or three years duration, depending on the findings of the Certification Audit.
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.
Certification Status	A Member's Certification Status is determined based on the outcome of an ASI Audit. A Members Certification Status may be not Certified, full Certification or Provisional Certification.
Certified	ASI Certification that is currently valid.

Chain of Custody	The documented sequence of Custody that occurs when CoC Material is transferred from one Facility and/or Entity to another along the supply chain.
Child Labour	Work that deprives children of their childhood, their potential and their dignity, and that is mentally, physically, socially or morally dangerous and harmful to their development. It is work that interferes with their schooling by depriving them of the opportunity to attend school, obliging them to leave school prematurely, or requiring them to attempt to combine school attendance with excessively long and heavy work. (Adapted from International Labour Organisation – What is Child Labour)
Circular Economy (CE)	A Circular Economy is one that is restorative and regenerative by design and aims to keep Products, components and materials at their highest utility and value at all times, distinguishing between technical and biological cycles. A Circular Economy addresses mounting resource-related challenges for Business and economies, and could generate growth, create jobs, and reduce environmental impacts, including carbon emissions. A Circular Economy is based on the principles of designing out Waste and pollution, keeping products and materials in use, and regenerating natural systems. (Ellen Macarthur Foundation, 2015) Key applications for Circular Economy are that Waste generation and material inputs are minimised through eco-design, recycling and re-using of Products, thus transitioning from a linear (take-make-consume-dispose) approach to a Circular Economy that respects planetary boundaries. Circular Economy principles are increasingly embedded into broader national or international Policy settings. With high End of Life recycling rates in many countries and Product segments, Aluminium can be a key contributor to a Circular Economy.
Civil Society Member	An ASI membership class that is open to not-for-profit organisations serving the public interest, such as environmental and human rights NGOs, labour organisations, Indigenous Peoples and community-based organisations, at either an international, regional, national or local level.
Closed-Loop Recycling	Pre-Consumer Scrap that was designated Eligible Scrap and can be traced from a Facility in the Entity’s Certification Scope through to an uncertified Facility and back to a Facility within the Entity’s Certification Scope.
CoC	Chain of Custody.

CoC Certification	Certification against the ASI Chain of Custody Standard .
CoC Certification Scope	The CoC Certification Scope sets out what parts of the Entity's Business and/or Facilities are covered by the Material Accounting System for the purposes of Inputs and Outputs of CoC Material, including any Outsourcing Contractors if applicable.
CoC Certified Entity	An Entity that is Certified against the ASI Chain of Custody Standard .
CoC Document	Document containing the required information in Principle 9 of the CoC Standard. Can be a stand-alone document (a template is in Appendix 1) or integrated into the Entity's normal sales invoices or delivery documentation.
CoC Material	A collective term for types of material subject to Chain of Custody: ASI Bauxite, ASI Alumina and ASI Aluminium.
Code of Conduct	Statement of principles and values that establishes a set of expectations and standards for how an organisation will behave, including minimal levels of compliance and disciplinary actions for the organisation, its staff and other personnel. (Adapted from Transparency International Anti-Corruption Glossary)
Cold Metal	Aluminium in a cast form that is remelted to reduce the heat of Liquid Metal and/or to meet alloying specifications in the casting process in a Casthouse. This includes re-melt ingots or scrap Casthouse Products (for example, off-specification production).
Collection	Collection of process scrap and/or used Aluminium Products for the purposes of recycling.
Collective Bargaining	A process through which employers (or their organisations) and Workers' associations (or in their absence, freely designated Workers' representatives) negotiate terms and conditions of work. (Adapted from ILO/IFC Better Work – Guidance Sheet – Freedom of Association)
Complaints Resolution Mechanism (or Grievance Mechanism)	A formal process that can be used by individuals, Workers, Communities and/or civil society organisations to raise concerns about business activities and operations as a means of access to remedy. (Adapted from Human Rights and Grievance Mechanisms). This term can be used interchangeably with 'Grievance Mechanism'.

Compliance (with Applicable Law)	<p>Refers to the procedures, systems or departments within organisations that ensure all legal, operational and financial activities are in conformity with current laws, rules, norms, regulations, standards and public expectations. (Adapted from Transparency International Anti-Corruption Glossary)</p>
Conflict-Affected and High-Risk Areas (CAHRAs)	<p>Areas identified by the presence of armed conflict, widespread violence, including violence generated by criminal networks, or other risks of serious and widespread harm to people. Armed conflict may take a variety of forms, such as a conflict of international or non-international character, which may involve two or more states, or may consist of wars of liberation, or insurgencies, or civil wars. <i>High-risk areas</i> are those where there is a high risk of conflict or of widespread or serious abuses as defined in paragraph 1 of Annex II of the OECD Due Diligence Guidance. Such areas are often characterised by political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure, widespread violence and violations of national or international law. Paragraph 1 of Annex II of the OECD Guidance specifically addresses the following serious Human Rights abuses:</p> <ul style="list-style-type: none"> • Any forms of torture, cruel, inhuman and degrading treatment • Any forms of forced or compulsory labour • Worst forms of child labour • Other gross Human Rights violations and abuses such as widespread sexual violence • War crimes or other serious violations of international humanitarian law, crimes against humanity or genocide. <p>(Adapted from OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, 3rd ed 2016, Gold Supplement and Annex II).</p>
Conformance	<p>The Entity's Policies, systems, procedures and processes, within the defined Certification Scope, perform in a manner that conforms to the applicable Criterion.</p>
Conformance Rating	<p>Self Assessment or Audit findings rated as:</p> <ul style="list-style-type: none"> • Conformance • Minor-Non-Conformance • Major Non-Conformance • Not Applicable
Conformity Assessment Body (CAB)	<p>An independent third party organisation that undertakes conformity assessment techniques and activities, including audits.</p>

Consultation	Engagement with parties external to the Entity (Affected Populations and Organisations) and Workers.
Contractor	An individual, company, or other legal Entity that carries out work or performs services pursuant to a contract for services for a Member. This includes sub-contractors.
Control	<p>Control by an Entity consists of:</p> <ol style="list-style-type: none"> 1. Direct or indirect majority ownership or Control (alone or pursuant to an agreement with other entities) of 50% or more of the voting rights (or equivalent) of the Controlled business or Facility; and/or 2. Direct or indirect (including pursuant to an agreement with other entities) power to remove, nominate or appoint at least half of the members of the Board of the directors or management (or equivalent of the Controlled business or Facility); and/or 3. Day-to-day executive management of the Controlled Business or Facility such as by setting workplace standards and enforcing their application; or 4. Any legally recognised concept of 'Control' analogous to those described in (1) to (2) above in a relevant jurisdiction. <p>Although the above defines 'Control' in a corporate context, the same principles will apply by analogy to other organisational arrangements, including franchisees, licensees and Control by an individual or a family, where applicable.</p>
Corruption	The abuse of entrusted power for private gain. Corruption can be classified as grand, petty and political, depending on the amounts of money lost and the sector where it occurs. (Adapted from Transparency International, The Anti-Corruption Plain Language Guide, 2009) Corruption includes practices such as Bribery, Facilitation Payments, fraud, Extortion, collusion, and money laundering. Corruption can also include the offer or receipt of gifts, loans, fees, rewards, or other advantages as an inducement to do something that is dishonest, illegal, or represents a breach of trust. It can also include practices such as embezzlement, trading in influence, abuse of function, illicit enrichment, concealment, and obstructing justice. (Adapted from GRI 205: Anti-corruption 2016 , p10)
Controlled Claim	A controlled claim ¹ is a sustainability claim directly linked with the ASI Standards systems and requires approval for use.

	¹ ISEAL Alliance, <i>Sustainability Claims Good Practice Guide</i> , May 2015. Accessed: http://www.iseal.org/claims
Corrective Action	An action implemented by a Member to: <ul style="list-style-type: none"> remediate or make good the effects or harm resulting from the Non-Conformance or incident, and eliminate the cause of a Non-Conformance or an incident, in order to prevent a recurrence.
Corrective Action Plan	Plans with set milestones developed by Members to address Non-Conformances identified during a Self Assessment or Audit.
CO₂ Equivalent (CO₂e)	GHG emissions (and atmospheric concentrations) can be expressed either in physical units (such as tonnes or ppm of a specific gas) or in terms of their comparative contribution to climate change, expressed as equivalency to the global warming potential of a tonne of carbon dioxide (tonnes or ppm of carbon dioxide equivalent, or CO ₂ e). The conversion factor from physical units to CO ₂ e is the global warming potential (GWPs) of the corresponding GHG, the generally accepted values for which are published by IPCC in its regular Assessment Reports. GWPs are updated and revised based on changing scientific knowledge. Care should be taken to use comparable GWPs across space and when comparing emissions of non-CO ₂ greenhouse gases through time and between activities.
Critical Breach	A situation identified by the Auditor or through the ASI Complaints Mechanism deemed to be critical to the integrity of the ASI Certification program. Critical Breach situations are identified in section 6.3 of the Assurance Manual. Identification of a Critical Breach requires Auditors to immediately notify the Member and the ASI Secretariat.
Custody	The physical possession of CoC Material by an Entity or Outsourcing Contractor for the purposes of production, processing and/or trading.
Customary Law	Customary law is a set of customs, practices and beliefs that are accepted as obligatory rules of conduct by Indigenous Peoples and local communities. Customary law forms an intrinsic part of their social and economic systems and way of life inherited from generation to generation.
Debt Bondage	Status or condition arising from a pledge by a debtor of his personal services or of those of a person under his control as security for a debt,

	<p>if the value of those services as reasonably assessed is not applied towards the liquidation of the debt or the length and nature of those services are not respectively limited and defined. (ILO Supplementary Convention on the Abolition of Slavery, the Slave Trade, and Institutions and Practices Similar to Slavery, 1957)</p>
Direct GHG Emissions	<p>Emissions evolved from a given industrial process or other anthropogenic activity – e.g., fuel combustion or electrolysis anode consumption. See also Indirect GHG Emissions.</p>
Discharges to Water	<p>Water effluents, used water, and unused water released to surface water, groundwater, seawater, or a third party, for which the organization has no further use. Water can be released into the receiving waterbody either at a defined discharge point (point-source discharge) or dispersed over land in an undefined manner (non-point-source discharge). Water discharge can be authorized (in accordance with discharge consent) or unauthorized (if discharge consent is exceeded). (Adapted from GRI 303: Water and Effluents 2018, p22)</p>
Discrimination	<p>Where people are treated differently because of certain characteristics – such as race, ethnicity, caste, national origin, disability, gender, sexual orientation, Labour Union membership, political affiliation, marital status, pregnancy status, physical appearance, HIV status or age or any other applicable prohibited basis – which results in the impairment of equality of opportunity and treatment. (Adapted from Betterwork Discrimination Guidance)</p>
Downstream Supporters	<p>An ASI membership class that is open to organisations that manufacture consumer or commercial goods containing Aluminium in the: aerospace, automotive, construction, consumer durables, engineering, IT, and similar sectors; organisations in the beverage, food, pharmaceutical and similar sectors that use Aluminium in packaging for their Products; and organisations that trade physical Aluminium or collect Aluminium for re-melting or recycling. Downstream Supporters are not required to seek ASI Certification.</p>
Dross	<p>A layer of intimately mixed Aluminium, Aluminium oxides and gases on the surface of molten Aluminium which is generated in furnaces for Aluminium Re-Melting/Refining and Casthouses. Also known as skimmings, it must be removed from the surface before the metal is cast. It is also recovered from the bottom and walls of Liquid Metal containers, e.g., furnaces or transport ladles or transfer channels. (Adapted from Aluminium Recycling in Europe, European Aluminium)</p>

<p>Due Diligence</p>	<p>An ongoing, proactive and reactive process through which companies can identify and assess risks, and design and implement a strategy to respond to identified risks. (Adapted from OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas)</p> <p>See also Human Rights Due Diligence.</p>
<p>Ecosystem Services</p>	<p>The benefits that people, including Businesses, derive from ecosystems. They are organised into four types:</p> <ol style="list-style-type: none"> I. Provisioning services, which are the products people obtain from ecosystems; II. Regulating services, which are the benefits people obtain from the regulation of ecosystem processes; III. Cultural services, which are the nonmaterial benefits people obtain from ecosystems; IV. Supporting services, which are the natural processes that maintain the other services. <p>(Adapted from International Finance Corporation (IFC) Guidance Note 6 on Biodiversity Conservation and Sustainable Management of Living Natural Resources)</p>
<p>EITI</p>	<p>Extractive Industries Transparency Initiative.</p>
<p>elementAI</p>	<p>ASI's cloud-based platform for managing the ASI assurance and Certification process and associated data.</p>
<p>Eligible Scrap</p>	<p>One of the following sources</p> <ul style="list-style-type: none"> • Post-Consumer Scrap that is assessed by the Entity to be post-consumer in origin and subject to supplier Due Diligence and/or • Aluminium recovered from Dross and other aluminium containing wastes that is subject to supplier Due Diligence as per Principle 7 of the Chain of Custody Standard and/or • Pre-Consumer Scrap that is designated as CoC Material supplied directly from another CoC Certified Entity and/or • Pre-Consumer Scrap that is supplied via a Trader, where the ASI CoC Certified Entity that is the source of the Eligible Scrap can be identified and can provide a verified CoC Document • Pre-Consumer Scrap that is subject to supplier Due Diligence as per Principle 7 and is assessed as being designated CoC Material that can be traced through Closed-Loop Recycling from a Facility

	in the Entity's Certification Scope through to an uncertified Facility and back to a Facility within the Entity's Certification Scope.
Emissions to Air	Air emissions that are regulated under international conventions and/or national laws or regulations. Air emissions include those listed on environmental permits for an organization's operations. (Adapted from GRI 305: Emissions 2016 , p20)
End of Life	The point where a product has ended its intended use for which it was designed and manufactured for. This can include rejected Products returned from the supply chain.
Entity	A Business or similar which is under the ownership or Control of an ASI Member. An Entity can constitute part or whole of an ASI Member. In relation to the application of the Performance Standard, the Entity seeks or holds ASI Certification and is responsible for implementation of the Performance Standard in the defined Certification Scope.
Environmental Product Declaration (EPD)	An EPD is an independently verified and registered document that communicates transparent information about the life-cycle environmental impact of products including raw material supply, transport, manufacturing, and associated processes. As a voluntary declaration of the life-cycle environmental impact, having an EPD for a product does not imply that the declared product is environmentally superior to alternatives. An EPD shall at least cover the product stage, which is 'cradle-to-gate' (as described in EN 15804 Modules A1 to A3). An EPD covering all life-cycle stages including the product stage, installation into the building, use and maintenance, replacements, demolition, waste processing for re-use, recovery, recycling and disposal is said to be 'cradle-to-grave' (as described in EN 15804 Modules A to C). Consideration of environmental aspects resulting from reuse, recovery and recycling at End of Life, is very important in relation to the circular economy and should be part of a 'cradle-to-grave' EPD (as described in the optional Module D in EN 15804). Further, any comparison of construction products on the basis of their EPD is defined by the contribution they make to the environmental performance of the building. Consequently, comparison of the environmental performance of construction products using EPD information shall be based on the product's use in and its impacts on the building, and shall consider the complete life cycle, which is organised into the separate modules A to D. (Adapted from ISO 14025 and EN 15804).

Equivalency (Equivalent)	The process which an ASI Accredited Auditor undertakes to ensure that the scope of the Recognised Standard or Scheme is aligned with the Member's Certification Scope and that any open non-conformances in the Recognised Standard or Scheme Certification are being actioned.
ESG	Environmental, social and governance.
ESIA	Environmental and Social Impact Assessment.
Extortion	Act of utilising, either directly or indirectly, one's access to a position of power or knowledge to demand unmerited cooperation or compensation as a result of coercive threats. (Adapted from Transparency International Anti-Corruption Glossary)
Facility	<p>A single or group of physical assets at a location which is separated (geographically and/or by ownership) from other Facilities, usually with a unique physical address. Those Facilities with different physical addresses and/or which are geographically separated from each other are generally considered as separate Facilities. Facilities operated by subcontractors, customers or suppliers are not included.</p> <p>In relation to the application of the CoC Standard, a Facility is a site, premises or operation with Custody of CoC Material.</p>
Facilitation Payments	A small bribe, also called a 'facilitating', 'speed' or 'grease' payment; made to secure or expedite the performance of a routine or necessary action to which the payer has legal or other entitlement. (Adapted from Transparency International Anti-Corruption Glossary)
Forced Labour	All work or service which is exacted from any person under the menace of any penalty and for which the said person had not offered himself voluntarily. This includes any work or service that is demanded as a means of repayment of debt. (Adapted from ILO/IFC Better Work – Guidance Sheet – Forced Labour)
Force Majeure	'Certain acts, events or circumstances beyond the control of the Entity, for example, natural disasters, accidents, pandemics or the outbreak of hostilities.'
Free Prior and Informed Consent (FPIC)	Given the diversity of Indigenous Peoples' histories and contemporary realities, as well as their broad range of institutions and decision-making practices, a one-size-fits-all formulation of FPIC is not possible. As has been elaborated on by UN bodies addressing Indigenous

	<p>Peoples’ rights, there are a number of overarching principles which are embodied in the four component parts of the requirement for FPIC.</p> <ul style="list-style-type: none"> • “Free” implies consent is sought in the absence of any actual or perceived coercion, intimidation or manipulation and Indigenous Peoples can determine the format of the Consultations. Free also reflects the fact that participating in Consultations aimed at obtaining their FPIC is a self-determination right of Indigenous Peoples, rather than an obligation which they must meet. • “Prior” implies consent is sought sufficiently in advance of any decisions or actions which may impact on Indigenous Peoples’ enjoyment of their rights and that Indigenous Peoples have the time they need to make their decisions in accordance with their own processes and through their own freely chosen representatives and institutions. • “Informed” implies that there is full disclosure of all the information Indigenous Peoples need in order to meaningfully assess the potential risks and benefits of the project (including its location, duration, scope, impacts, benefits and/or partnership models). This information has to be provided in a format understandable to, and through a process agreed by, the concerned Indigenous Peoples. This may involve participation in, or Indigenous Peoples conduct of, impact assessments, access to funding for independent technical and legal advice, and negotiations in relation to benefits. • “Consent” implies respect by all parties, irrespective of the outcome, for the freely taken informed autonomous decision of Indigenous Peoples. This decision should be the outcome of good faith rights-based Consultations and cooperation with the concerned Indigenous Peoples. It should be taken by them in accordance with procedures and timeframes of their own choosing and be premised on Indigenous rights-based principles of self-determination, inclusivity, consensus, harmony and intergenerational well-being. <p>(Adapted from Mining, the Aluminium Industry and Indigenous Peoples, 2015 – developed through the ASI Indigenous Peoples Advisory Forum).</p>
<p>Freedom of Association</p>	<p>The right of all Workers, without distinction whatsoever, to establish and, subject only to the rules of the organisation concerned, to join organisations of their own choosing without previous authorisation.</p> <p>(Adapted from ILO Better Work – Guidance Sheet – Freedom of Association)</p>

Gender-responsive	Gender responsiveness refers to outcomes that reflect an understanding of gender roles and inequalities and which make an effort to encourage equal participation and equal and fair distribution of benefits. Gender responsiveness is accomplished through gender analysis and gender inclusiveness. (Adapted from UNDP Gender Responsive National Communications Toolkit)
General Supporters	An ASI membership class that is open to organisations that support ASI’s mission not falling into one of the other membership classes, such as: governments and regulators, international institutions, investment sector, parallel initiatives, academic and research institutions, specialist agencies, consultancies, media organisations, and related industries (for example, waste processing of Bauxite Residue, Dross or Spent Pot Lining). This class excludes organisations seeking to carry out independent Third Party Audits: they must go through the ASI Accreditation process and cannot also be Members of ASI.
GHG	See Greenhouse Gases .
GHG Emissions Reduction Pathway	A forward-looking strategy for implementation of the Entity’s Emissions Reduction Plan, encompassing a broad set of technological deployment, investment, procurement and supply policies.
GHG Emissions Reduction Plan	An implementable decarbonisation plan for the Entity, incorporating abatement but also including other mechanisms, aligned with a below 1.5oC Warming Scenario, with quantitative targets at regular intervals, published measures of success and disclosed performance against such measures.
Greenhouse Gases (GHG)	Gaseous compounds in the atmosphere that are capable of absorbing infrared radiation, thereby trapping and holding heat in the atmosphere. By increasing the heat in the atmosphere, Greenhouse Gases are responsible for the greenhouse effect, which ultimately leads to global warming. Six GHG covered by the UNFCCC are: carbon dioxide (CO ₂), methane (CH ₄), nitrous oxide (N ₂ O), hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), and sulphur hexafluoride (SF ₆).
Hazardous Child Labour	Work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (ILO Convention 182). ILO Recommendation 190 notes the following should be considered when determining whether work is Hazardous Child Labour: <ul style="list-style-type: none"> a. Work which exposes children to physical, psychological or sexual abuse;

	<ul style="list-style-type: none"> b. Work underground, under water, at dangerous heights or in confined spaces; c. Work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads; d. Work in an unhealthy environment which may, for example, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health; e. Work under particularly difficult conditions such as work for long hours or during the night or work where the child is unreasonably confined to the premises of the employer.
Hazardous Waste	<p>Waste that possesses any of the characteristics contained in Annex III of the Basel Convention, or that is considered to be hazardous by national legislation. (Adapted from the United Nations Environment Programme (UNEP), Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal, 1989)</p> <p>See also Non-Hazardous Waste.</p>
Historic Aluminium Operations	<p>Refers to the Legacy Impacts of the operation.</p>
Human Rights	<p>Universal rights and freedoms regarding as belonging to all people without Discrimination based on internationally recognised standards. At a minimum, these include rights articulated in the International Bill of Human Rights, the ILO Declaration of Fundamental Principles and Rights at Work and Applicable Law. (Adapted from UN Office of the High Commissioner on Human Rights)</p>
Human Rights Due Diligence	<p>An ongoing management process that a reasonable and prudent enterprise needs to undertake, in the lights of its circumstances (including sector, operating context, size and similar factors) to meet its responsibility to respect Human Rights. (Adapted from The Corporate Responsibility to Respect Human Rights: An Interpretive Guide (UN, 2012))</p> <p>See also Due Diligence.</p>
Human Trafficking	<p>The recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability, or of the giving or receiving of payments or benefits to achieve the consent of a person having control over</p>

	<p>another person, for the purpose of exploitation. Human trafficking can lead to Forced Labour. Human trafficking is also known as ‘modern slavery’. (Adapted from UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, 2000)</p>
HRIA	Human Rights Impact Assessment.
IFC	International Finance Corporation. The IFC is a member of the World Bank Group and the largest global development institution focused on the private sector in developing countries. (Adapted from International Finance Corporation)
ILO Conventions	<p>ILO Convention C29 – on Forced Labour (1930)</p> <p>ILO Convention C87 – on Freedom of Association and Protection of the Right to Organise (1948)</p> <p>ILO Convention C95 – on Protection of Wages Convention (1949)</p> <p>ILO Convention C98 – on the Right to Organisation and Collective Bargaining (1949)</p> <p>ILO Convention C100 – on Equal Remuneration (1951)</p> <p>ILO Convention C105 – on Abolition of Forced Labour (1957)</p> <p>ILO Convention C111 – on Discrimination (Employment and Occupation) (1958)</p> <p>ILO Convention C138 – on Minimum Age (1973)</p> <p>ILO Convention C182 – on Worst Forms of Child Labour (1999)</p> <p>Together these 8 conventions are known as ILO ‘core conventions’, and these issues (Forced Labour, Child Labour, Freedom of Association and Non-Discrimination) are also addressed in the ILO 1998 Declaration of Fundamental Principles and Rights at Work.</p> <p>ILO Convention 155 (1981) and Convention 187 (2006) – Lay out standards and recommendations regarding identification of hazards, education and training, and provision of clothing and personal protective equipment.</p> <p>ILO Convention 176 (1995) – Deals with health and safety in mines. Part III provides general recommendations on issues such as handling of</p>

	<p>chemicals, emergency preparedness, and the right of employees to report accidents to local authorities. Article 88 requires the preparation of an emergency response plan specific to each mine (ILO Recommendation 183 provides more detail on what these plans should contain).</p> <p>See also International Labour Organisation (ILO).</p>
Impact Assessment	<p>The process of identifying, predicting, evaluating and mitigating the biophysical, social and other relevant effects of development proposals prior to major decisions being taken and commitments made. (Adapted from International Association of Impact Assessments) They are also used to assess the risks of major incidents, such as Spills and Leakages.</p>
Indigenous Peoples	<p>Considering the diversity of Indigenous Peoples, an official definition of “Indigenous” has not been adopted by any UN-system body. Instead, the UN system has developed a modern understanding of this term based on the following:</p> <ul style="list-style-type: none"> • Self-identification as Indigenous Peoples at the individual level and accepted by the community as their member; • Historical continuity with pre-colonial and/or pre-settler societies; • Strong link to territories and surrounding natural resources; • Distinct social, economic or political systems; • Distinct language, culture and beliefs; • From non-dominant groups of society; • Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities. <p>(Adapted from the UN Permanent Forum on Indigenous Issues)</p>
Indirect GHG Emissions	<p>Emissions that are a consequence of a given industrial process or anthropogenic activity, but not directly evolved by that process – e.g., the production of raw material inputs or the generation of energy consumed/transformed. See also Direct GHG Emissions.</p>
Industrial Users	<p>An ASI membership class that is open to organisations that manufacture 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. Industrial Users are required to seek ASI Certification for at least one of their Facilities or Products.</p>

Inflow	The general flow of all material (encompassing both CoC and Non-CoC) into an Entity and/or its supply chain activities.
Internally Generated Scrap	Pre Consumer Scrap which does not leave the generating Entity's Certification Scope prior to Aluminium recovery, and material containing Aluminium that is diverted from the waste stream from a manufacturing process or similar, in which the material is reclaimed within the same process that generated it.
Input	The flow of CoC Material + Eligible Scrap entering an Entity's CoC Certification Scope.
Input Percentage	The percentage used to determine the Output Quantity of CoC Material and calculated by dividing the Input of CoC Material and Eligible Scrap by the total of Input of CoC plus Non-CoC Material plus Recyclable Scrap Material.
Input Quantity	Mass of CoC Material or Eligible Scrap entering an Entity's CoC Certification Scope.
Intermediate Target	A singular milestone for the Entity to achieve a pre-defined GHG emissions intensity value within a three-, four- or five-year period as part of its GHG Emissions Reduction Pathway.
Internal Overdraw	Where the Entity's Material Accounting System allows the Output Quantity to temporarily exceed the Input Quantity in a Material Accounting Period due to a force majeure situation. The Internal Overdraw must be made up in the subsequent Material Accounting Period.
International Labour Organisation (ILO)	<p>A tripartite UN agency, established in 1919, that brings together governments, employers and workers representatives of 187 member States, to set labour standards, develop policies and devise programmes promoting decent work for all women and men. The ILO has more than 80 Conventions and Recommendations dealing with health and safety issues. These cover specific industries, risks that affect a variety of sectors, and preventative or protective measures. While these recommendations are sometimes addressed in government regulation, they may be referred to by companies for additional guidance. (Adapted from the International Labour Organisation)</p> <p>See also ILO Conventions.</p>

Intra-Entity Flow	The movement of CoC Material between supply chain activities within an Entity's CoC Certification Scope.
IPAF	Indigenous Peoples Advisory Forum.
ISEAL	ISEAL represents the global movement of sustainability standards. (ISEAL Alliance).
ISO	International Organisation for Standardisation.
Joint Venture	<p>Joint Ventures are usually formed where two or more independent parties come together to jointly execute a particular business activity or project. The arrangement between the parties is typically formalised in one of the following ways (with the specifics governed by Applicable Law):</p> <ul style="list-style-type: none"> • A corporation • A partnership • An unincorporated contractual arrangement.
Labour Union	A voluntary association of Workers organised for occupational purposes with the aim of furthering and defending the interests of Workers. May also be called a trade union, or Workers organisation. (Adapted from SA8000:2014)
LCA	See Life Cycle Assessment .
Lead Auditor	Qualified person responsible for the overall conduct of an ASI Audit and who can lead an Audit Team.
Legacy Impacts	<p>Significant impacts which historically occurred at the Facility that have not been remediated and are still impacting Affected Populations and Organisations and/or the environment. These may be impacts that occurred:</p> <ul style="list-style-type: none"> • prior to Certification, and/or • prior to the current owner purchasing the Facility, and/or • in the establishment of the Facility. <p>Legacy Impacts may have occurred many years prior; there is no 'cut-off' at which Legacy Impacts meeting the above requirements are not to be considered.</p>

Life Cycle Assessment (LCA)	LCA is a systematic set of procedures for compiling and examining the inputs and outputs of materials and energy and the associated environmental impacts directly attributable to the functioning of a product or service system throughout its life cycle (ISO 14040: 2006). An LCA is an analysis of the impact that an object, product or raw material can have on the environment and ecosystems.
Life Cycle Inventory (LCI)	An inventory of data that quantifies the energy and raw material inputs and environmental releases to air, land and water associated with each stage of production (ISO 14040: 2006).
Liquid Metal	Aluminium in a molten form.
LME	London Metal Exchange.
Local Community	A term generally applied to any people or communities located in an operation's or project's geographical proximity, particularly those subject to actual or potential direct project-related risks and/or adverse impacts on their physical environment, health or livelihoods. Additionally, it often refers to a group of people or families who live in a particular locality, sometimes share a common interest (water users associations, fishers, herders, grazers, and the like), often have common cultural and historical heritage and have different degrees of cohesiveness. (Adapted from IFC Performance Standard 1 – Assessment and Management of Environmental and Social Risks and Impacts – Guidance Note).
M&E	Monitoring and Evaluation.
Major Changes	A significant change to an existing Facility that has occurred since a Member has joined ASI. This would be a change that may have a Material risk to the environment or Human Rights that was not evaluated, or that changes the situation compared to a previous Impact Assessment.
Major Non-Conformance	A situation where the Entity's policies, systems, procedures and processes within the defined Certification Scope perform in a manner that is not conformant with the Criterion due to: <ul style="list-style-type: none"> • The total absence of implementation of a required Criterion; • A systemic failure or total lack of required controls; • A group of related, repetitive or persistent Minor Non-Conformances indicating inadequate implementation.

	<p>It may also be a situation where the Entity does not comply with Applicable Law and the situation presents a Significant Risk to workers, the environment or the community.</p> <p>Note that a Significant Risk is usually defined by an Entity’s or an Auditors’ internal risk processes. However, it should consider situations where there is a high chance of:</p> <ul style="list-style-type: none"> • Injury or illness to one or more people resulting in permanent partial impairment or disability or death; • Long term irreversible impacts to the environment, sensitive species, habitat, ecosystems or areas of cultural importance); • Affecting large numbers of the Local Community (one Stakeholder group) or multiple Stakeholder groups and impacting on the Entity’s ability to retain its ‘social licence to operate’.
Management Representative	A member of senior management personnel nominated by the company to ensure that the requirements of the Standard/s are met. (Adapted from Social Accountability International, SA8000: 2008)
Management System	Management processes and documentation that collectively prove a systematic framework for ensuring that tasks are performed correctly, consistently and effectively to achieve the desired outcomes, and to drive continual improvement in performance. (Adapted from Responsible Jewellery Council Code of Practices 2013)
Mass Balance System	<p>Requires each successive Entity with Custody of CoC Material to be CoC Certified and allows for CoC Materials in an Entity’s Custody to be mixed with Non-CoC Materials over a defined Material Accounting Period, at any stage in the Aluminium supply chain. The Input Percentage of CoC Material is used to calculate the Output Quantity of CoC Material.</p> <p>Note that the CoC Standard stipulates that the Output of CoC Material cannot be allocated as ‘partially CoC’ – so if 20% of Output is ‘CoC’, that 20% is 100% CoC (and not all Output is “20% CoC”).</p>
Material Accounting Period	A period of time, not longer than 12 months, during which CoC Material, Eligible Scrap, Inputs and Outputs are accounted for and reconciled.
Material Accounting System	Part of the Entity’s Management System used for controlling and accounting of the Inputs and Outputs of CoC Material. They may be stand-alone systems or integrated with purchasing, inventory, accounting, or other systems.

Material Conversion	Further processing (for example cutting, stamping, bending, joining, forging, product casting, packaging production etc.) of Casthouse Products or semi-fabricated Aluminium products, into products or components that are used in or sold for final assembly or filling and sale to end consumers.
Maturity Categories	The three parts that are used to establish the Entity's Overall Maturity Rating, namely: <ul style="list-style-type: none"> • Systems; • Residual Risk; • Performance.
Maturity Ratings	A rating of maturity (low, medium or high) in terms of systems, Residual Risk and performance assigned to a Sustainability Component, determined by an Auditor.
Material (Risk) Materiality	Any external risk that a reasonable person would consider important or the impacts of which could translate into financial risk for the Entity. An extension of the key accounting concept of materiality of financial information to encompass ESG and other sustainability impacts ("double materiality").
Member	See ASI Member .
Migrant Worker	A person who is to be engaged, is engaged or has been engaged in a remunerated activity in a State of which he or she is not a national. (Adapted from the UN Convention on the Rights of Migrants)
Mine Rehabilitation	The return of disturbed land to a stable and productive condition. (International Council on Mining and Metals)
Mine to Metal Emissions	Direct and Indirect Greenhouse Gas emissions associated with a Smelter's activities in the production of cast Aluminium ingots or other Smelter Casthouse products, equivalent to GHG Protocol corporate accounting Scopes 1, 2 and 3 (categories 1, 3 and 4).
Minor Non-Conformance	The Entity's Policies, systems, Procedures and processes, within the defined Certification Scope, perform in a manner that is not wholly conformant with the Criterion, due to an isolated lapse of either performance, discipline or control which does not lead to a Major Non-Conformance.

Modern Slavery Statement	A publicly available company statement, signed at executive level, which outlines the steps the company is taking to identify and prevent modern slavery in its own operations and those of its suppliers.
Multi-Site Organisation / Entity	Where an Entity has an identified central head office (or functional office, or geographic headquarters, etc.) which controls or oversees the management of a network of sites or branches which carry out the Entity's activities. A Multi-site Organisation need not be a unique legal entity, but all sites shall have a legal or contractual link with the central head office and be subject to a common management system.
New Projects	A new Facility that has been constructed since a Member has joined ASI.
NGOs	Non-Government Organisations.
Non-CoC Material	Material in the form of Bauxite, Alumina, Liquid Metal, Cold Metal and/or Aluminium that is not produced and/or transferred in accordance with the CoC Standard.
Non-Conformance	A situation where the Entity's Policies, systems, Procedures or processes, within the defined Certification Scope, do not conform to the applicable ASI Standard.
Non-Hazardous Waste	All other forms of solid or liquid waste, excluding wastewater, that are not considered Hazardous Waste. See also Hazardous Waste .
Not Applicable	The Criterion cannot be implemented by an Entity due to the nature of its Business or Business activities within the defined Certification Scope.
Objective Evidence	Verifiable information, records, observations and/or statements of fact, and which can be qualitative or quantitative.
Occupational Health and Safety (OH&S)	Concerned with protecting the safety, health and welfare of people engaged in work or employment. (Safe at Work)
OECD	See Organisation for Economic Co-operation and Development (OECD)
Off-Product Claim	A claim relating to a Product that was produced, sourced, or supplied in conformance with the ASI Chain of Custody (CoC) Standard, but which does not appear on or directly associated with the Product. Such

	claims must be supported by Chain of Custody (CoC) Standard Certification.
OH&S	See Occupational Health and Safety (OH&S) .
OMR	See Overall Maturity Rating .
On-Product Claim	A claim (incorporating the ASI Responsible Sourcing logo) that appears on or is directly associated with a Product. Such claims must be supported by Chain of Custody (CoC) Standard Certification.
Organisation for Economic Co-operation and Development (OECD)	An intergovernmental economic organisation founded in 1961 to stimulate economic progress and world trade. It has 36 member countries plus Key Partners including Brazil, India and China. (Adapted from OECD)
Other manufacturing or sale of products containing Aluminium	A supply chain activity that uses Aluminium in the assembly, manufacture and/or sale of a final or consumer product or products, without physically or chemically altering the composition or structure of the Aluminium (components) contained in the product(s).
Outflow	The general flow of all material (encompassing both CoC and Non-CoC) coming out of an Entity and/or its supply chain activities.
Output	The flow of CoC Material exiting an Entity's CoC Certification Scope
Output Quantity	Mass of CoC Material or Eligible Scrap leaving an Entity's CoC Certification Scope.
Outsourcing Contractor	An individual, company or other Business that takes custody of CoC Material from an Entity for the purpose of processing, treatment, or manufacturing the CoC Material for that Entity. Outsourcing Contractors that are not themselves CoC Certified must be included in the Entity's CoC Certification Scope. Outsourcing Contractor status does not apply to tolling arrangement or similar where the type of CoC Material is changed (e.g., transforming ASI Bauxite into ASI Alumina).
Overall Maturity Rating (OMR)	A rating of maturity (low, medium or high) in terms of Systems, Residual Risk and Performance assigned to a defined Certification Scope, determined by an Auditor.
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>)

Overtime	The hours worked in addition to those in the normal work week and which should be voluntary. (Adapted from Responsible Jewellery Council Code of Practices 2013)
Performance Standard	ASI's Standard that defines environmental, social and governance Principles and Criteria, with the aim to address sustainability issues relevant to the production and material stewardship of Aluminium, from the extraction of Bauxite to the production of commercial and consumer goods, and the recycling of Pre- and Post-Consumer Aluminium Scrap.
Policy	A statement of principles and intentions. (Adapted from Responsible Jewellery Council Code of Practices 2013)
Positive Balance	The net difference where an Entity's Material Accounting System records that an Entity's total CoC Material and/or Eligible Scrap Inputs are higher than the Entity's total CoC Material Outputs transferred to another Entity at the end of a Material Accounting Period.
Post-Casthouse	Further processing, treatment or manufacturing of Aluminium subsequent to the production of Casthouse Products. This includes semi-fabrication, material conversion, manufacturing, further production, assembly, fabrication and/or construction.
Post-Casthouse Entity	An Entity that carries out further processing, treatment or manufacturing of Aluminium subsequent to the production of Casthouse Products. This includes Entities engaged in Semi-Fabrication, Material Conversion, manufacturing, further production, assembly, fabrication and/or construction.
Post-Consumer Scrap	Material containing Aluminium that is reclaimed from a consumer or commercial product that has been used for its intended purpose by individuals, households or commercial, industrial and institutional facilities as end-users of the product which can no longer be used for its intended purpose. (Adapted from ISO 14021:2016)
Pre-Consumer Scrap	Material containing Aluminium that is diverted from the waste stream from a manufacturing process or similar, in which the material has not been intentionally produced, is unfit for end use and not capable of being reclaimed within the same process that generated it. (Adapted from ISO14021:2016)
Primary Aluminium	Aluminium produced from Bauxite ore, through refining to produce Alumina, then smelting to produce Aluminium.

Principle	A statement of intended impact of the Criteria in the ASI Performance Standard .
Priority Ecosystem Services	Priority Ecosystem Services are two-fold: <ul style="list-style-type: none"> • Those services on which operations are most likely to have an impact and, therefore, which result in adverse impacts to Affected Populations and Organisations; and/or • Those services on which the Entity is directly dependent for its operations (e.g., water).
Procedure	A specified manner to conduct an activity or a process. Procedures can be documented or not.
Product	A product comprising or containing Aluminium that is produced by an ASI Member.
Product/Program	A product or program, focused for example by a set of activities or a particular market, which is managed by an ASI Member and used to define a Certification Scope.
Product Carbon Footprint (PCF)	A PCF is a means for measuring, managing and communicating Greenhouse Gas emissions related to goods and services. A carbon footprint is based on a LCA but focuses only on global warming potential.
Product Environmental Footprint (PEF)	Unlike a carbon or water footprint, PEF is a multi-indicator measure of a product's impacts using an LCA approach. A PEF study is a measure of a set of quantifiable environmental impacts over the life cycle of a Product, including emissions to water, air and soil, use and depletion of resources and impacts from land use.
Production and Transformation	An ASI membership class that is open to organisations with activities in one or more of: Bauxite Mining, Alumina Refining, Aluminium Smelting, Aluminium Re-Melting/Refining, Semi-Fabrication and/or Material Conversion. Production and Transformation members are required to seek ASI Certification for at least one of their Facilities or Products.
Protected Area	Geographically defined area which is designated or regulated and managed to achieve specific conservation objectives. (Convention on Biological Diversity Article 2)
Provisional Certification	Certification where there is at least one Major Non-Conformance identified.

Qualified Specialist	An individual, who may be either internal or external to the organisation, who has specific knowledge or expertise in the relevant subject area. Knowledge or expertise may be either through education or on-the-job learning and should be appropriate to the scale and scope of the project.
Rehabilitation	See Mine Rehabilitation .
Remuneration	Amounts paid by employers to Workers. It includes wages or salaries and any other benefits in cash or in kind. (Adapted from ILO/IFC Better Work – Guidance Sheet – Compensation)
Re-Certification Audit	A Certification Audit conducted at the end of the Certification Period to renew the Member’s Certification.
Recognised Standard or Scheme	An external Standard or Scheme which has been approved by the ASI Standards Committee and adopted by the ASI Board.
Recruitment Fees, Costs and Charges	Any fees or costs incurred in the recruitment process in order for Workers to secure employment or placement, regardless of the manner, timing or location of their imposition or collection. (ILO General Principles and Operational Guidelines for Fair Recruitment and Definition of Recruitment Fees and Related Costs).
Recyclable Scrap Material	Pre-Consumer Scrap, Post-Consumer Scrap and Aluminium recovered from Dross or other Aluminium containing wastes in any form.
Recycled Aluminium	Aluminium produced from processes such as re-melting (to produce Liquid Metal) and Aluminium Refining (which removes unwanted elements or impurities for Aluminium). Recycled Aluminium is also known as secondary Aluminium.
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.
Rehabilitation	See Mine Rehabilitation .
Resettlement Action Plan	A plan that is developed to cover, at minimum, the applicable requirements of IFC Performance Standard 5, regardless of the number of people affected and including compensation at full replacement cost for land and other assets lost. The Plan is designed to mitigate the negative impacts of displacement; identify development opportunities; develop a resettlement budget and schedule; and establish the entitlements of all categories of affected persons. Particular attention is

	paid to the needs of the poor and the Vulnerable or At-Risk. (Adapted from IFC Performance Standard 5 – Land Acquisition and Involuntary Resettlement (2012))
Residual Risk	The chance of something happening, accounting for risk mitigation measures that are in place, that will have an impact on objectives, measured in terms of consequence and likelihood.
Rightsholder	Persons and/or groups vested with collective rights (e.g., Indigenous Peoples) that have their Human Rights put at risk or impacted by a project or its associated activities. For example, individuals living in a Local Community whose only water source has been impacted by an extractive operation may be Rightsholders. Workers facing discrimination in the workplace may also be Rightsholders.
Salt Slag (Slag)	Residue generated after remelting of Aluminium scrap with fluxing salt, consisting of salt in which metallic and non-metallic particles are entrapped in amounts that exhaust their fluxing properties. Also known as ‘salt cake’. (Adapted from Aluminium Recycling in Europe , European Aluminium)
Scheme	<p>Collective term to mean a certification scheme and/or Parallel Initiative, where a certification scheme is a set of common requirements for Third Party accredited Auditors conducting certification audits against a certifiable Standard.</p> <p><i>Examples of Certification Schemes include those for international standards such as ISO 14001, ISO 45001, SA 8000, etc. or those for sector or supply chain Standards with Third Party audits such as Forest Stewardship Council or the Responsible Jewellery Council for their respective chain of custody Standards.</i></p> <p>And where a parallel initiative is a recognised Standards and assessment program, similar to a Certification Scheme, but does not result in certification.</p> <p><i>Examples of parallel initiatives include those that are internationally recognised but not part of a formal certification Scheme such as the International Finance Corporation Standards or the Equator Principles adopted by financial institutions, or other international Standards and guidelines widely recognised such as the Global Reporting Initiative Guidelines or the United Nations Declaration of Human Rights. Other examples of parallel initiatives include specific sustainability schemes only practised or recognised in a particular region or location, or for a</i></p>

	<i>specific product or industry sector such as buildings or supply of energy, or a particular part of the supply chain such as mining or recycling.</i>
Science-based Approach	Action commensurate with what the latest climate science deems necessary to meet the goals of the Paris Agreement – limiting global warming to well-below 2°C above pre-industrial levels and pursuing efforts to limit warming to 1.5°C.
Scope 1 GHG Emissions	Direct Greenhouse Gas emissions from sources owned or Controlled by a Facility. (The Greenhouse Gas Protocol)
Scope 2 GHG Emissions	Indirect GHG emissions from consumption of purchased electricity, heat or steam. (The Greenhouse Gas Protocol)
Scope 3 GHG Emissions	Other indirect emissions, such as the extraction and production of purchased materials and fuels, transport-related activities in vehicles not owned or Controlled by the Entity, electricity-related activities (e.g. transmission and distribution losses) not covered in Scope 2, outsourced activities, Waste disposal, etc. (The Greenhouse Gas Protocol)
Scope Change Audit	An Audit type which enables a change to the Certification Scope.
Sectoral Decarbonisation Approach (SDA)	A scientifically informed method, developed by the Science Based Targets Initiative for companies to set GHG Emission reduction targets necessary to stay within a 2°C temperature rise above pre-industrial levels.
Self Assessment	An assessment carried out by a Member seeking ASI Certification, describing their Certification Scope and carrying out a preliminary evaluation of their own performance against the applicable requirements of the ASI Standard/s. The Self Assessment can be used to gauge preparedness for a Certification Audit, identify the need for any corrective action to improve performance, and to identify Objective Evidence required during a Certification Audit.
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.

Significant Risk	<p>A Significant Risk is usually defined by a Member’s or an Auditor’s risk processes. However, it should consider situations where there is a high chance of:</p> <ul style="list-style-type: none"> • Injury or illness to one or more people resulting in permanent partial impairment or disability or death • Long term irreversible impacts to the environment, sensitive species, habitat, ecosystems or areas of cultural importance <p>affecting large numbers of the Local Community (one stakeholder group) or multiple stakeholder groups and impacting on the Member’s ability to retain its ‘social licence to operate’.</p>
Slag	See Salt Slag .
SME	Small and Medium-Sized Entities.
Spent Pot Lining (SPL)	<p>A by-product of the Aluminium Smelting process generated from the relining of electrolytic cells (pots). These contaminated pot linings comprise a carbonaceous fraction, known as first cut SPL, and a refractory material, referred to as second cut SPL. Both first and second cut SPL are considered a Hazardous Waste because of their fluoride, cyanide and reactive metal content. Also known as Spent Pot Liner or Spent Cell Liner</p> <p>See also Treated and Untreated SPL.</p>
Spills and (or) Leakages	Accidental release of a hazardous substance that can affect human health, land, vegetation, water bodies, and ground water. (Adapted from GRI Standards Glossary, 2021 p17).
Stakeholders	<p>Persons or groups who are directly or indirectly affected by a project and its Associated Facilities, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively. From a Due Diligence perspective impacted Stakeholders will be the priority for engagement and may include but are not limited to:</p> <ul style="list-style-type: none"> • Workers (including local and Migrant Workers) and Labour Unions • Landowners and other resource users • Artisanal miners • Governments (local, regional and national)

	<ul style="list-style-type: none"> • Civil society organisations, including environmental and Community-based organisations and local Human Rights defenders <p>Additionally, interested Stakeholders that may be important for meaningful engagement can include:</p> <ul style="list-style-type: none"> • Industry peers • Investors/shareholders • Business partners • Scientific community • The media • Ecosystems and biodiversity features (represented by advocates) <p>(Derived from the OECD Due Diligence Guidance for Meaningful Stakeholder Engagement in the Extractives Sector)</p>
Standard	<p>Document that provides, for common and repeated use, rules, guidelines or characteristic for products or related processes and production methods, with which compliance is voluntary. (ISEAL Code of Good Practice for Setting Social and Environmental Standards)</p> <p>See also 'ASI Standards'.</p>
Statement of Conformance	<p>The Statement of Conformance is completed and signed by the Lead Auditor, and includes:</p> <ul style="list-style-type: none"> • The overall determination of Conformance for the Member's defined Certification Scope, for the purposes of issuing Certification. <p>Confirmation of the conditions under which the Audit was conducted, including that there were no material conflicts of interest present.</p>
Suggested Business Improvement	<p>A situation where the Policies, systems, procedures and processes are in Conformance with the applicable ASI Standard/s, but where an Auditor determines that there is scope to improve these current processes. A Suggested Business Improvement is offered without prejudice, and its implementation is not mandatory. Subsequent Audits shall not be based on the implementation, or lack thereof, of a Suggested Business Improvement.</p>
Summary Audit Report	<p>An extract from the Audit Report that is published on the ASI website.</p>

Supplementary Information	Additional information that can be included in CoC Documents, such as: identify CoC Material shipped via third parties; to provide reference to additional certifications or accreditations beyond ASI Certification applying to the CoC Material or supplying Entity; additional claims about origin, source or practices in the supply chain; or other general information via website links.
Surveillance Audit	An independent review within the Certification Period conducted by an Auditor to provide assurance that the Member continues to conform to the applicable ASI Standard/s within the defined Certification Scope.
Sustainability Components	The Sustainability Components are built into the structure of the ASI Performance Standard , namely: <ul style="list-style-type: none"> • Governance • Environmental • Social.
Sustainability Data	Data that can be included in CoC Documents that supports the social, environmental and/or economic benefits of ASI Aluminium.
Sustainability Reporting	Reports published by a company or organisation about the economic, environmental and social impacts caused by its everyday activities. (Adapted from the Global Reporting Initiative). The reporting may be done in one report or through the combination of various types of information made publicly available by the Entity.
Third Party	A person or body independent of the person or organisation being evaluated, and of material interests in that person or organisation.
Trader	An independent Third Party who buys and sells Bauxite, Alumina and/or Aluminium between producers and purchaser directly or indirectly. When the Bauxite, Alumina and/or Aluminium is under the control of the Trader it may be mixed but is not transformed in any way.
Transformation of a product	Changes in composition, physical integrity, or shape of the material or Product, (i.e., refining Bauxite into Alumina, smelting Alumina into liquid Aluminium, remelting scrap into Aluminium, the addition of alloying elements to Aluminium, changing shape by rolling, extrusion, or foundry). Transformation does not refer to re-packaging of the Product or sealing, gluing, filling, or assembling the final Product (e.g., filling and sealing beverage containers, assembling aluminium parts with other non-Aluminium elements into a final product).

Treated Spent Pot Lining (Treated SPL)	SPL that has been treated, either fully or partially, to alter its reactive properties and to eliminate its hazardous properties, including processes to detoxify or remove/neutralise fluoride and cyanide compounds.
Untreated Spent Pot Lining (Untreated SPL)	SPL that has not been treated, either fully or partially, to alter its reactive properties and to eliminate its hazardous properties.
Violence and Harassment	Range of unacceptable behaviours and practices, or threats thereof, whether a single occurrence or repeated, that aim at, result in, or are likely to result in physical, psychological, sexual or economic harm, and includes gender-based violence and harassment (from ILO 190 1(a))
Visitor	A person visiting an Entity's Facility or operation or location under the Entity's Control who is not a Worker at the Facility or operation or location.
Vulnerable or At-Risk	Those at risk of having their rights denied or who lack the capacity or means to secure them.
Waste	A term to encompass Hazardous Waste and Non-Hazardous Waste.
Waste Mitigation Hierarchy	<p>The Waste Mitigation Hierarchy can be summarised as a set of process options from most favourable to least favourable to protect human health and the environment from impacts associated with the generation, storage, handling, treatment, transportation and disposal of Waste. The hierarchy aims to maximise the benefits from raw materials and process operations, so as to minimise the generation of Waste. It incorporates the concepts of reuse, recycling and recovery as follows (in order of preferred to least preferred options):</p> <ol style="list-style-type: none"> 1. <i>Avoidance</i>, including action to prevent or reduce the amount of waste generated by households, industry and all levels of government; 2. <i>Resource recovery</i>, including re-use, recycling, reprocessing and energy recovery, consistent with the most efficient use of the recovered resources; 3. <i>Disposal</i>, including management of all disposal options in the most environmentally responsible manner. <p>(Adapted from Environmental Protection Authority NSW and the European Union Waste Framework Directive)</p>
Watershed	An area of land, consisting of both its surface and subterranean features such as groundwater, that drains all the streams and rainfall

	to a common outlet such as the outflow of a reservoir, mouth of a bay, or any point along a stream channel. The word watershed is sometimes used interchangeably with drainage basin or catchment. (Adapted from United States Geological Survey (USGS))
Working Time	The time in which the persons employed are at the disposal of the employer. (Adapted from ILO/IFC Better Work – Guidance Sheet – Working Time) See also Overtime .
World Heritage Properties	Sites established under the UNESCO World Heritage Convention of 1972. ASI's Criteria aligns with the International Council on Mining and Metals (ICMM) 2003 Position Statement on Mining and Protected Areas. (International Council on Mining and Metals, 2003)
Workers	Includes employees (individuals who have entered into or who work under a contract of employment or a contract of service or apprenticeship, whether express or implied and whether oral or in writing, or as defined by Applicable Law); and Contractors (an individual, company or other legal entity that carries out work or performs services pursuant to a contract for services). For the avoidance of doubt, Workers include Migrant Workers. (Adapted from Responsible Jewellery Council Code of Practices 2013)
Worst Forms of Child Labour	Defined under ILO Convention 182 as: <ul style="list-style-type: none"> a. All forms of slavery – including the trafficking of children, debt bondage, forced and compulsory labour, and the use of children in armed conflict. b. The use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic purposes. c. The use, procuring or offering of a child for illicit activities, in particular the production and trafficking of drugs. <p>Work which is likely to harm the health, safety or morals of the child as a consequence of its nature or the circumstances under which it is carried out.</p>

Aluminium Stewardship Initiative Ltd
(ACN 606 661 125)

www.aluminium-stewardship.org
info@aluminium-stewardship.org

