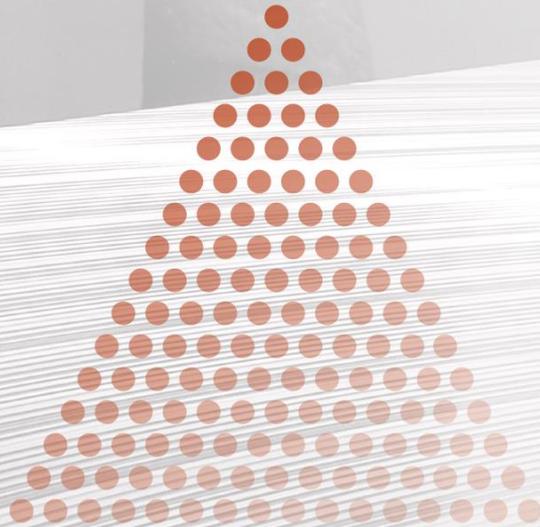


ASI Performance Standard

VERSION 3.1
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.

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Disclaimer

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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.

ASI Performance Standard

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Introduction

A. Background

The Aluminium Stewardship Initiative (ASI) is a non-profit, multi-stakeholder organisation which exists to administer an independent third-party certification program for the Aluminium value chain. The ASI certification program provides assurance against two voluntary standards: the **ASI Performance Standard** and the **ASI Chain of Custody Standard**.

The **ASI Performance Standard** (this Standard) defines environmental, social and governance Principles and Criteria that address sustainability issues in the Aluminium value chain. ASI Members in Production and Transformation and Industrial Users membership classes are required to have at least one Facility Certified against the **ASI Performance Standard** within two years of joining ASI.

The **ASI Chain of Custody (CoC) Standard** complements the **ASI Performance Standard** and is voluntary for ASI Members, though encouraged. The **ASI CoC Standard** sets out requirements for the maintenance of a Chain of Custody for CoC Material, including ASI Aluminium, through the value chain. For more information, please visit [aluminium-stewardship.org](https://www.aluminium-stewardship.org).

B. Purpose

The ASI Certification program aims to incentivise and support the uptake of the **ASI Performance Standard**, to provide independent assurance of responsible production, sourcing and stewardship of Aluminium.

The **ASI Performance Standard** aims to support responsible supply chains by:

- Providing a common standard for the Aluminium value chain on environmental, social and governance performance.
- Establishing requirements that can be independently audited against Objective Evidence for the granting of ASI Certification.
- Reinforcing and promoting consumer and stakeholder confidence in Aluminium.
- Serving as a broader reference for the establishment and improvement of responsible production, sourcing and material stewardship initiatives in metals supply chains.

The **ASI Performance Standard** does not prevent ASI Members from applying higher standards to those set out in the **ASI Performance Standard**.

C. Scope

The **ASI Performance Standard** defines requirements to address environmental, social and governance sustainability for Entities and Facilities engaged in the Aluminium value chain. The following aspects are all covered by the Standard:

Governance

1. Business Integrity
2. Policy and Management
3. Transparency
4. Material Stewardship

Environment

5. Greenhouse Gas Emissions
6. Emissions, Effluents and Wastes
7. Water Stewardship
8. Biodiversity and Ecosystem Services

Social

9. Human Rights
10. Labour Rights
11. Occupational Health and Safety

D. Status and Effective Date

This is Version 3 of the **ASI Performance Standard**, which was approved by the ASI Standards Committee and adopted as an ASI Standard by the ASI Board on 27th April 2022.

Members are required to demonstrate Conformance to Version 3 of the **ASI Performance Standard** in all New and Re-Certification Audits conducted from 1st June 2023 onwards. Audits conducted between 1st June 2022 and 31st May 2023 may be against either version of the Standard.

Surveillance Audits will be based on the version used for initial Certification.

Existing Certifications against Version 2 may continue for their full Certification cycle, but from the 1st June 2023 the Re-Certification Audit must use Version 3.

E. Standards Development

Development of this Standard has been underpinned by formal and transparent multi-stakeholder processes. ASI is sincerely grateful for the time, expertise and valuable input of the many individuals and organisations who contributed to this Standard.

Version 1 of the Performance Standard was developed by the ASI Standards Setting Group (SSG) under the co-ordination of IUCN, supported by two public comment periods in 2014, and published in December 2014.

Version 2 of the Performance Standard was developed as a minor revision under the ASI Standards Committee, supported by input from one public comment period and a pilot program with ASI Members, in 2017. The objectives of this minor revision were to integrate the Performance Standard into the broader ASI program, developed during 2015–2017, and to address clarification issues raised during Guidance development and piloting. The main changes to the Standard from V1 to V2 were:

- Layout to meet ASI Style Guide
- Updated introduction
- Expanded **Glossary** and consistent use of defined terms
- Re-structuring of some Criteria into sub-sections to enhance auditability
- Minor clarification of language and intent in some Criteria
- References to the supporting documents and processes that had been developed since V1 of the Standard was published at the end of 2014, including Guidance for this Standard.

The revision process culminating in Version 3 of this Standard has been conducted in a formal, collaborative, multi-stakeholder process governed under the ASI Standards Setting Procedure V3.2. This full revision of the Standard was based on feedback on, and experience in, implementing the Standard since it was launched in December 2017. The main changes to the Standard from V2 to V3 are:

- Improved consistency of structure, format and use of defined terms
- Revised Criteria throughout
- Expanded applicability of Criteria for Entities engaged in Material Conversion and/or Other manufacturing or sale of products containing Aluminium.

ASI is a code-compliant ISEAL member and conducts standards development in conformance with the ISEAL Standard-Setting Code of Good Practice for Setting Social and Environmental Standards V6.0 (2014). More information on ASI's Standards development processes can be found at:

<http://aluminium-stewardship.org/standard-setting-process/activities-and-plans/>

F. Application

ASI Members in the Production and Transformation and Industrial Users membership classes are required to achieve **ASI Performance Standard** Certification against applicable requirements, for at least part of their operations within two years of joining ASI. These Members are also encouraged to seek Chain of Custody Certification to add value to their Performance Standard Certification.

A more specific breakdown of applicability at the individual criterion level is contained in the **Performance Standard Guidance** chapters and details on the applicability of Criteria for Material Conversion and/or Other manufacturing or sale of products containing Aluminium Facilities can be found in the **ASI Assurance Manual**. Note that, unless otherwise specified, the Criteria are applicable to all Facilities. For more information on defining an Entity's Certification Scope, see the **ASI Assurance Manual**.

The Standard is open to all interested users. However, ASI Certification can only be granted to ASI Members or Entities under the Control of ASI Members, on the basis of verification of Conformance by ASI Accredited Auditors.

G. Certification

The **ASI Performance Standard** is designed for use by ASI Accredited Auditors to verify an Entity's Conformance for the purposes of granting ASI Certification.

The Entity's Certification Scope is defined by the Entity seeking Certification. The steps for ASI Certification are laid out in the **ASI Assurance Manual** and are summarised as follows:

- The Entity prepares for and requests a Certification Audit from an ASI Accredited Auditor.
- During the Certification Audit, the Auditor verifies the Entity has systems in place that conform to the Performance Standard. Non-Conformances will be noted and the Entity will be directed to address them.
- Based on the Audit Report, ASI can issue Certification for up to three years. ASI completes Oversight on all Audit Reports for completeness and clarity and follows up with Auditors where required before issuing Certification.
- Depending on the Entity's Overall Maturity Rating and type of certification (i.e., full versus provisional) there may be a Surveillance Audit of the Certified Entity within twelve to twenty-four months to verify that systems are still working effectively.
- It is expected that the implementation of any corrective action(s) required due to minor non-conformances identified during the Certification Audit should have commenced as a minimum prior to the Surveillance Audit.
- After the Certification Period of three years, a Re-Certification Audit is required to renew the Certification, followed again, depending on the Certified Entity's Overall Maturity Rating, by a Surveillance Audit within twelve to twenty-four months.

H. Supporting Documents

The following documents provide supporting information to assist with implementing the **ASI Performance Standard**:

- **ASI Performance Standard – Standards Guidance**
- **ASI Assurance Manual**
- **ASI Claims Guide**
- **ASI Glossary**

The ASI assurance platform, *elementAI* provides Members and Auditors with access to documentation and streamlines the certification process.

I. Review

ASI undertakes to formally review this version of the Standard by 2027, five years after publication, or earlier as required. Proposals for revisions or clarifications can be submitted by interested parties at any time, and ASI will document these for consideration in the next review process. ASI will continue to work with stakeholders and Members to ensure that these Standards are relevant and achievable.

J. Measuring Impacts

The ASI Monitoring and Evaluation (M&E) program is designed to assess the impact of ASI Certification. Impacts are long-term changes in the sustainability areas that the Standard aims to address and their understand and demonstration are critical for standards programs' success. ASI's M&E program measures short and medium-term changes to understand how these contribute to long-term impacts, and also identifies how ASI's certification program can be improved over time.

In implementing this program, ASI complies with the ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards V2.0 (2014). ASI is bound by its **Anti-Trust Compliance Policy** and **Confidentiality Policy** in dealing with commercially sensitive information. These policies are available on the [ASI website](#).

K. How to Read the Standard

Please note the following:

- The **ASI Performance Standard** contains 11 Principles organised into 3 parts (Governance, Environment and Social).
- *Italicised text provides the Principle but is not normative.*
- Auditable Criteria are numbered in each Principle (for example '1.1').

- All capitalised common terms and acronyms (for example 'Entity') are defined in the **ASI Glossary**.

The 3 parts and 11 Principles are grouped as follows:



ASI Performance Standard

A. Governance (Principles 1-4)

1. Business Integrity

Principle: The Entity shall conduct its Business with a high level of integrity and Compliance.

- 1.1 **Legal Compliance.** The Entity shall have systems in place to maintain awareness of and to ensure Compliance with Applicable Law and shall seek to understand and conform with relevant aspects of Customary Law. Where a conflict exists between the two the Entity shall prioritize Applicable Law.

Application:

This criterion applies to all Facilities.

- 1.2 **Anti-Corruption.** The Entity shall work against Corruption in all its forms, including Extortion and Bribery, consistent with Applicable Law and prevailing international Standards.

Application:

This criterion applies to all Facilities.

- 1.3 **Code of Conduct.** The Entity shall:
- Implement a Code of Conduct or similar instrument, which includes principles relevant to environmental, social and governance performance.
 - Publicly disclose the latest Code of Conduct or similar instrument.
 - Review the Code of Conduct at least every 5 years.
 - Review the Code of Conduct on any changes to the Business that alter Material environmental, social and governance risk(s).
 - Review the Code of Conduct on any indication of a control gap.

Application:

This criterion applies to all Facilities.

2. Policy and Management

Principle: The Entity is committed to sound management of its environmental, social and governance processes.

- 2.1 **Environmental, Social, and Governance Policy.** The Entity shall:
- Implement integrated or stand-alone Policies consistent with the environmental, social and governance practices included in this Standard.

- b. Have senior management endorse the Policies and support through provision of resources.
- c. Review the Policies at least every 5 years.
- d. Review the Policies on any changes to the Business that alter Material environmental, social and governance risk(s).
- e. Review the Policies on any indication of a control gap.
- f. Communicate the Policies internally and externally as appropriate.

Application:

This criterion applies to all Facilities.

2.2 Leadership. The Entity shall:

- a. Nominate at least one senior Management Representative to lead the implementation of the Policies under criterion 2.1a.
- b. Nominate at least one senior Management Representative to lead communication of the Policies under criterion 2.1f.
- c. Provide the resources needed to establish, implement, maintain and improve the Management Systems required throughout the ASI Performance Standard.

Application:

This criterion applies to all Facilities.

2.3 Environmental and Social Management Systems. The Entity shall implement integrated or stand-alone:

- a. Environmental Management Systems.
- b. Social Management Systems.

Application:

This criterion applies to all Facilities.

2.4 Responsible Sourcing. The Entity shall:

- a. Implement a responsible sourcing Policy, covering environmental, social and governance issues, consistent with the Principles in this Standard.
- b. Publicly disclose the latest version of the responsible sourcing Policy.
- c. Review the responsible sourcing Policy at least every 5 years.
- d. Review the responsible sourcing Policy on any changes to the Business that alter Material environmental, social and governance risk(s).
- e. Review the responsible sourcing Policy on any indication of a control gap.

Application:

This criterion applies to all Facilities.

2.5 Environmental and Social Impact Assessments. The Entity shall:

- a. Conduct environmental and social Impact Assessments for New Projects or Major Changes to existing Facilities.
- b. Ensure Impact Assessments consider how Baseline Conditions are affected by Historic Aluminium Operations.
- c. Implement an environmental and social impact management plan to prevent, mitigate and, where necessary, remediate any Material impacts identified.
- d. Review the environmental and social impact management plan at least every 5 years.
- e. Review the environmental and social impact management plan on any changes to the Business that alter Material environmental, social and governance risk(s).
- f. Review the environmental and social impact management plan on any indication of a control gap.
- g. Publicly disclose the environmental and social Impact Assessments, and the latest active version of the environmental and social impact management plan.

Application:

This criterion applies to all Facilities with a New Project or Major Change to existing Facilities.

2.6 Human Rights Impact Assessment. The Entity shall:

- a. Conduct a Human Rights Impact Assessment, including a gender analysis, for New Projects or Major Changes to existing Facilities.
- b. Ensure that the Human Rights Impact Assessment considers how Baseline Conditions are affected by Historic Aluminium Operations.
- c. Ensure the Human Rights Impact Assessment includes an assessment of Indigenous Peoples' rights.
- d. Implement a gender-sensitive Human Rights impact management plan to prevent, mitigate and, where required, remediate any Material impacts identified.
- e. Review the Human Rights impact management plan at least every 5 years.
- f. Review the Human Rights impact management plan after any changes to the Business that alter Material Human Rights risk(s).
- g. Review the Human Rights impact management plan on any indication of a control gap.
- h. Publicly disclose the Human Rights Impact Assessment and the latest version of the Human Rights impact management plan, with due consideration for not posing risks to Affected Populations and Organisations or to legitimate requirements of commercial confidentiality.

Application:

This criterion applies to all Facilities with a New Project or Major Change to existing Facilities.

Criterion 2.6(c) applies where the presence of Indigenous Peoples or their lands, territories and resources is identified.

2.7 Emergency Response Plan. The Entity shall:

- a. Implement site specific emergency response plans, developed in collaboration with Workers, Affected Populations and Organisations and relevant agencies.
- b. Review the emergency response plans at least every 5 years.

- c. Review the emergency response plans after any changes to the Business that alter the nature or scale of emergency incident risks.
- d. Review the emergency response plans on any indication of a control gap.
- e. In the absence of situations where the emergency response plans have been executed, test the plans.
- f. Publicly disclose the latest version of the emergency response plans.

Application:

This criterion applies to all Facilities.

2.8 Suspended Operations. The Entity shall:

- a. Develop a Business resilience plan to address situations where it may have to suspend or significantly alter operations due to factors outside its control, which takes into account Material adverse environmental, social and governance impacts.
- b. Review the Business resilience plan at least every 5 years.
- c. Review the Business resilience plan after any changes to the Business that alter the nature or scale of environmental, social and governance risks.
- d. Review the Business resilience plan on any indication of a control gap.

Application:

This criterion applies to all Facilities.

2.9 Mergers and Acquisitions. The Entity shall:

- a. In Due Diligence processes for mergers and acquisitions, review its environmental, social and governance practices related to this Standard, including those associated with Historical Aluminium Operations.
- b. Post-merger or acquisition:
 - i. Share information regarding the Material environmental, social and governance impacts of Historic Aluminium Operations with Affected Populations and Organisations.
 - ii. Implement a plan, developed in Consultation with and, where possible, with the participation of Affected Populations and Organisations, to mitigate the Material environmental, social and governance impacts of Historic Aluminium Operations.
 - iii. Share progress against the impact mitigation plan with Affected Populations and Organisations annually.

Application:

Criterion 2.9(a) applies to all Facilities.

Criterion 2.9(b) applies to Facilities post-merger or -acquisition.

2.10 Closure, Decommissioning and Divestment. The Entity shall:

- a. Review environmental, social and governance practices related to this Standard in the planning process for closure, decommissioning and divestment.

- b. In Consultation with and, where possible, with the participation of Affected Populations and Organisations, develop a plan for monitoring of Material environmental, social and governance impacts, including Legacy Impacts, associated with the closure, decommissioning or divestment.

Application:

This criterion applies to all Facilities.

3. Transparency

Principle: The Entity shall be transparent in alignment with internationally recognized reporting Standards.

3.1 Sustainability Reporting. The Entity shall publicly disclose

- a. Its governance approach to environmental, social and economic impacts.
- b. Its Material environmental, social and economic impacts related to Principles in this Standard.

Application:

This criterion applies to all Facilities.

3.2 Non-compliance and Liabilities. The Entity shall publicly disclose information on an annual basis on Material fines, judgments, penalties and non-monetary sanctions for failure to comply with Applicable Law.

Application:

This criterion applies to all Facilities.

3.3 Payments to Governments. The Entity shall:

- a. Only make, or have made on its behalf, payments to governments, including political parties, on a legal and/or contractual basis.
- b. Publicly disclose payments to governments building on existing audit and assurance systems.
- c. Publicly disclose the value and beneficiaries of financial and in-kind political contributions, whether made directly or through an intermediary, on an annual basis or building on existing audit and assurance systems.

Application:

This criterion applies to all Facilities.

3.4 Stakeholder Complaints, Grievances and Requests for Information. The Entity shall:

- a. Implement a Complaints Resolution Mechanism that is:
 - i. Legitimate;
 - ii. Accessible;

- iii. Predictable;
 - iv. Equitable;
 - v. Transparent;
 - vi. Rights-compatible;
 - vii. A source of continuous learning;
 - viii. Based on engagement and dialogue;
 - ix. Adequate to address Affected Populations and Organisations' complaints, grievances and requests for information relating to its operations.
- b. Share the Complaints Resolution Mechanism with Affected Populations and Organisations.
 - c. Review the Complaints Resolution Mechanism at least every 5 years
 - d. Review the Complaints Resolution Mechanism after any changes to the Business that alter Material environmental, social and governance risks.
 - e. Review the Complaints Resolution Mechanism on any indication of a control gap.
 - f. Publicly disclose the latest version of the Complaints Resolution Mechanism.

Application:

This criterion applies to all Facilities.

4. Material Stewardship

Principle: The Entity is committed to take a life cycle perspective and to promote resource efficiency, collection and recycling of Aluminium within its operations as well as within the value chain.

- 4.1 Environmental Life Cycle Assessment.** The Entity shall:
- a. Evaluate life cycle impacts of its major Product lines for which Aluminium is considered or used.
 - b. Provide, on customer request, adequate cradle-to-gate Life Cycle Assessment (LCA) information on its Aluminium (containing) product(s).
 - c. Ensure any public communication on LCA includes public access to the LCA information and its underlying assumptions, including system boundaries.

Application:

This criterion applies to all Facilities.

- 4.2 Product Design.** The Entity shall integrate clear sustainability objectives in the design and development process for Products or components of the end Product to enhance Circular Economy outcomes.

Application:

This criterion applies to Semi-Fabrication, Material Conversion and Other manufacturing or sale of products containing Aluminium.

This criterion is designed to apply to Entities that are involved in the design and development process of a Product or component. This includes companies that are involved in setting design objectives and specifications, and specifically excludes companies that are only retailers of

finished products with no involvement in the design process. It is also less relevant for standardised semi-fabricated Products which do not necessarily have a design and development process but are inputs for further specialised manufacturing (e.g., Aluminium slugs).

4.3 Aluminium Process Scrap. The Entity shall:

- a. Minimise the generation of Aluminium Process Scrap within its own operations and, where generated, target 100% of scrap for collection, recycling and/or re-use.
- b. Separate Aluminium alloys and grades for recycling.

Application:

This criterion applies to Aluminium Smelting, Aluminium Re-melting/Refining, Casting, Semi-Fabrication, Material Conversion and Other manufacturing or sale of products containing Aluminium.

This criterion does not apply to Bauxite Mining and Alumina Refining

4.4 Collection and Recycling of Products at End of Life. The Entity shall:

Where engaged in Material Conversion and/or Other manufacturing or sale of products containing Aluminium:

- a. Implement a recycling strategy, including specific timelines, activities and targets.
- b. Review the recycling strategy at least every 5 years.
- c. Publicly disclose the latest version of the recycling strategy.

Where engaged in Aluminium Re-melting/Refining, operating a Casthouse, Semi-Fabrication, Material Conversion, and/or Other manufacturing or sale of products containing Aluminium:

- d. Engage with local, regional or national collection and recycling systems to support accurate measurement and efforts to increase recycling rates in their respective markets for their Products containing Aluminium.

Application:

4.4(a), (b) and (c) apply to Material Conversion and Other manufacturing or sale of products containing Aluminium.

4.4(d) applies to Aluminium Re-melting/Refining, Casting, Semi-Fabrication, Material Conversion and Other manufacturing or sale of products containing Aluminium.

B. Environment (Principles 5-8)

5. Greenhouse Gas Emissions

Principle: Recognizing the ultimate objective established under the UN Framework Convention on Climate Change, the Entity is committed to reducing its Greenhouse Gas (GHG) emissions from a lifecycle perspective to mitigate its impact on the global climate.

5.1 Disclosure of GHG Emissions and Energy Use. The Entity shall:

- a. Account for and publicly disclose, where Material, energy use and GHG Emissions by source on an annual basis.
- b. Ensure that all publicly disclosed energy and GHG emissions data are independently verified, prior to publication.

Application:

This criterion applies to all Facilities.

5.2 Aluminium Smelter GHG Emissions Intensity.

Where an Entity is engaged in Aluminium Smelting and where the Aluminium Smelter:

- a. Started production after 2020, the Entity shall demonstrate that the average Mine to Metal Emissions intensity is below 11.0 tonnes CO₂e per metric tonne of cast Aluminium (t CO₂e/t Al).
- b. Was in production up to and including 2020, the Entity shall demonstrate that Mine to Metal Emissions intensity:
 - i. Is below 11.0 t CO₂e/t Al.

or

 - ii. Has been reduced by a minimum 10% over the previous three reporting periods and that the Entity has established GHG Emissions abatement plans that ensure Mine to Metal Emissions intensity is:
 - a. below 13.0 t CO₂e/t Al by end 2025, and
 - b. below 11.0 t CO₂e/t Al by end 2030.

Application:

This criterion applies to all Aluminium Smelters.

5.3 GHG Emissions Reduction Plans. The Entity shall:

- a. Establish a GHG Emissions Reduction Plan and ensure a GHG Emissions Reduction Pathway consistent with a 1.5°C warming scenario, using an ASI endorsed methodology when available.
- b. Ensure that the GHG Emissions Reduction Pathway includes an Intermediate Target covering a period no greater than five years, which:
 - i. Addresses all Direct and Indirect GHG emissions.
 - ii. Is developed using a Science-Based Approach endorsed by ASI, if available.
 - iii. Is publicly disclosed.
- c. Review the GHG Emissions Reduction Plan annually.
- d. Review the GHG Emissions Pathway on any changes to the Business that alter baselines or targets.
- e. Publicly disclose:
 - i. The latest version of the GHG Emissions Reduction Pathway
 - ii. The latest version of the GHG Emissions Reduction Plan.

- iii. Progress against the GHG Emissions Reduction Plan on an annual basis.

Application:

This criterion applies to all Facilities.

- 5.4 **GHG Emissions Management.** The Entity shall implement the necessary Management System, evaluation procedures, and operating controls to achieve performance aligned to the GHG Emissions Reduction Plan and targets developed in criterion 5.3.

Application:

This criterion applies to all Facilities.

6. Emissions, Effluents and Waste

Principle: The Entity shall minimize emissions and effluents that have the potential to adversely impact human health and safety or that of the environment and manage Waste according to the Waste Mitigation Hierarchy.

6.1 Emissions to Air

The Entity shall:

- a. Quantify and publicly disclose Material Emissions to Air from its activities and, where possible, from those within its Area of Influence on an annual basis.
- b. Implement plans to minimise exposure to, and impacts from, Emissions to Air.
- c. Review the plans at least every 5 years.
- d. Review the plans after any emissions event that exceeds internally or externally mandated limits.
- e. Review the plans on any changes to the Business that alter Material risk(s) from Emissions to Air.
- f. Publicly disclose the latest version of the plans.

Application:

This criterion applies to all Facilities.

6.2 Discharges to Water. The Entity shall:

- a. Quantify and publicly disclose Material Discharges to Water from its activities and, where possible, from those within its Area of Influence on an annual basis.
- b. Implement plans to minimise exposure to and impacts from, Discharges to Water.
- c. Review the plans at least every 5 years.
- d. Review the plans after any discharge event that exceeds internally or externally mandated limits.
- e. Review the plans on any changes to the Business that alter Material risk(s) from Discharges to Water.

- f. Review the plans on any indication of a control gap.
- g. Publicly disclose the latest version of the plans.

Application:

This criterion applies to all Facilities.

6.3 Assessment and Management of Spills and Leakages. The Entity shall:

- a. Conduct an assessment of major risk areas of operations where Spills and Leakages could contaminate air, water and/or soil.
- b. Implement a management plan, (including compliance controls and a monitoring program) to prevent, detect and remediate Spills and Leakages.
- c. Review the plan at least every 5 years.
- d. Review the plan after any Spill or Leakage event.
- e. Review the plan after any changes to the Business that alter Spills and Leakages risk(s).
- f. Review the plan on any indication of a control gap.
- g. Publicly disclose the latest version of the management plan.

Application:

This criterion applies to all Facilities.

6.4 Public Disclosure of Spills and Leakages. The Entity shall:

- a. Disclose to Affected Populations and Organisations the volume, type and potential impact of Material Spills and Leakages as soon as practicable after an incident.
- b. Publicly disclose Impact Assessments of Material Spills and Leakages, root causes and remediation actions taken on an annual basis.

Application:

This criterion applies to all Facilities.

6.5 Waste Management and Reporting. The Entity shall:

- a. Quantify and publicly disclose the quantity of Hazardous and Non-Hazardous Waste generated by the Entity from its activities and, where possible, from those within its Area of Influence and associated Waste disposal methods on an annual basis.
- b. Assess the Material impacts to human well-being and the environment of the Wastes in (a).
- c. Implement a Waste management strategy that is designed in accordance with the Waste Mitigation Hierarchy.

Application:

This criterion applies to all Facilities.

6.6 Bauxite Residue. The Entity shall:

- a. Not discharge Bauxite Residue to aquatic environments.

- b. Establish a timeline and a roadmap for the elimination of Bauxite Residue lagooning in favour of good practice technologies for Bauxite Residue storage or re-use. Any Alumina Refining Facility starting production after 2020 shall only use good practice technologies for Bauxite Residue storage or re-use.
- c. Have constructed Bauxite Residue storage areas in a manner that effectively prevents the release of Bauxite Residue and leachate to the environment.
- d. Perform regular checks and controls, including those conducted by third parties, to ensure the integrity of the Bauxite Residue storage area.
- e. Assess the impact of the water discharge from Bauxite Residue storage area and mitigate any adverse actual or potential impacts to the environment.
- f. Control and neutralise water discharge from Bauxite Residue storage area, to minimise impacts to the environment.
- g. Remediate the Bauxite Residue storage area after closure of the Alumina Refining Facility to a state that can adequately mitigate the risk of future environmental contamination.

Application:

This criterion applies to all Alumina Refineries.

6.7 Spent Pot Lining (SPL). The Entity shall:

- a. Store and manage SPL to prevent the release of SPL or leachate to the environment.
- b. Optimise processes for the recovery and recycling of carbon and refractory materials from SPL.
- c. Not landfill Untreated SPL where there is the potential for adverse environmental effects.
- d. Review at least annually alternative options to landfilling of treated SPL and/or stockpiling of SPL.
- e. Not discharge SPL to freshwater and brackish water environments.
- f. Not discharge SPL to marine environments.

Application:

This criterion applies to all Aluminium Smelters.

6.8 Dross. The Entity shall:

- a. Store and manage Dross to prevent the release of Dross and leachate to the environment.
- b. Maximise the recovery of Aluminium by treatment of Dross and Dross residues.
- c. Maximise the recycling of treated Dross residues.
- d. Review at least annually alternative options to landfilling of Dross residues.

Application:

This criterion applies to all Aluminium Re-melters/Refiners and Casthouses.

7. Water Stewardship

Principle: The Entity shall withdraw, use and manage water responsibly to support the stewardship of shared water resources.

- 7.1 **Water Assessment and Disclosure.** The Entity shall:
- a. Identify, document and publicly disclose its water withdrawal and use by source and type on an annual basis.
 - b. Undertake an assessment and, where Material, publicly disclose water-related risks in Watersheds in the Entity's Area of Influence on an annual basis.

Application:

This criterion applies to all Facilities.

- 7.2 **Water Management.** The Entity shall:
- a. Implement water management plans, developed in conjunction with Affected Populations and Organisations with time-bound, contextual targets that address Material risks identified in criterion 7.1
 - b. Review the plans at least every 5 years.
 - c. Review the plans on any changes to the Business that alter Material water-related risk(s).
 - d. Review the plan on any indication of a control gap.
 - e. Publicly disclose the latest version of the management plans.

Application:

This criterion applies to all Facilities.

This criterion is Not Applicable where risks identified in 7.1b are assessed and documented as low.

8. Biodiversity and Ecosystem Services

Principle: The Entity shall manage its biodiversity and Ecosystem Services impacts in accordance with the Biodiversity Mitigation Hierarchy to protect ecosystems, habitats and species.

- 8.1 **Biodiversity and Ecosystem Services Risk and Impact Assessment.** The Entity shall:
- a. Assess the risk to and potential impacts on Biodiversity and Ecosystem Services from the land use and activities within the Entity's Area of Influence.
 - b. In situations where the Entity contributes to, or is likely to impact Ecosystem Services, undertake a systematic review, in Consultation with and, where possible, with the participation of Affected Populations and Organisations, to identify Priority Ecosystem Services that are relevant to Affected Populations and Organisations.

Application:

Criterion 8.1(b) is Not Applicable when the risks and potential impacts identified in 8.1(a) are assessed and documented as low.

- 8.2 **Biodiversity Management.** The Entity shall:

- a. Implement a Biodiversity Action Plan with time-bound targets to address Material risks and impacts to Biodiversity and Ecosystem Services, identified through criterion 8.1, and monitor its effectiveness.
- b. Ensure that the Biodiversity Action Plan is designed by a Qualified Specialist, in accordance with the Biodiversity Mitigation Hierarchy and with an ambition to achieve no net loss.
- c. Ensure that the Biodiversity Action Plan is developed in Consultation with and, where possible, with the participation of Affected Populations and Organisations.
- d. Review the Biodiversity Action Plan, and associated targets at least every 5 years.
- e. Review the Biodiversity Action Plan and associated targets on any changes to the Business that alter Material Biodiversity risk(s) or where assessment indicates changes to risk.
- f. Review the Biodiversity Action plan and associated targets on any indication of a control gap.
- g. Publicly disclose the latest version of the Biodiversity Action plan and associated targets and share with Affected Populations and Organisations.

Application:

This criterion is Not Applicable when the risks and potential impacts identified in 8.1(a) are assessed and documented as low.

8.3 Management of Priority Ecosystem Services. The Entity shall:

- a. Where an Entity depends on Priority Ecosystem Services, implement measures that increase the resource efficiency of operations.

Where Priority Ecosystem Services of relevance to Affected Populations and Organisations are identified through criterion 8.1, and the source of impacts are:

- b. under the Entity's direct management Control, use the Biodiversity Mitigation Hierarchy to maintain access to, and the value and functionality of such Ecosystem Services.
- c. not under the Entity's direct management Control, work with other parties or within their scope of influence to mitigate impacts on Priority Ecosystem Services.

Application:

This criterion is Not Applicable when no Priority Ecosystem Services are identified in 8.1(b).

8.4 Alien Species. The Entity shall proactively prevent accidental or deliberate introduction of Alien Species that could have Material adverse impacts on Biodiversity and Ecosystem Services.

Application:

This criterion applies to all Facilities.

8.5 Commitment to "No Go" in World Heritage Properties. The Entity shall:

- a. Not explore or develop New Projects or make Major Changes in World Heritage Properties.
- b. Take all possible steps to ensure that existing operations in World Heritage Properties, as well as existing operations in World Heritage properties, as well as existing and future operations adjacent to World Heritage Properties, are not incompatible with the outstanding universal

value for which these properties are listed and do not put the integrity of these properties at risk.

Application:

This criterion applies to all Facilities.

8.6 Protected Areas. The Entity shall:

- a. Identify Protected Areas within its Area of Influence.
- b. Comply with any regulations, covenants, and legal requirements attributed to these Protected Areas.
- c. Implement management plans, developed in collaboration with the relevant Protected Area management authorities and, where possible, with the participation of Affected Populations and Organisations, to ensure the Entity's activities and Facilities do not adversely impact the integrity of the special values for which the areas identified in 8.6a were designated for protection and/or the declarations of Indigenous Peoples.
- d. Publicly disclose the management plans in a manner accessible and understood by Affected Populations and Organisations.

Where engaged in Bauxite Mining:

- e. Not explore or mine in the Protected Areas identified in 8.6a unless all the following exceptional conditions are satisfied:
 - i. An independent third-party assessment is conducted by an external Qualified Specialist(s), shared with Affected Populations and Organisations, publicly disclosed and updated as required, that addresses the presence of, and potential impacts on the values of, Protected Areas.
 - ii. The Entity commits to conduct the Bauxite Mining in the Protected Area in accordance with the ASI Standards, notably on environmental protection, as well as in accordance with any recommendations provided by the external Qualified Specialist(s).
 - iii. Where Indigenous Peoples exist, they have given their Free, Prior and Informed Consent.

Application:

This criterion applies to all Facilities.

8.7 Mine Rehabilitation. The Entity shall:

- a. Implement and maintain a Mine Rehabilitation and closure plan.
- b. Review the Mine Rehabilitation and closure plan at least every 5 years.
- c. Review the Mine Rehabilitation and closure plan on any changes to the Business that alter Material environmental, social and governance risk(s).
- d. Review the Mine Rehabilitation and closure plan on any indication of a control gap.
- e. Ensure the Mine Rehabilitation and closure plan is developed in Consultation with and, where possible, with the participation of Affected Populations and Organisations and designed by a Qualified Specialist.

- f. Publicly disclose the latest version of the Mine Rehabilitation and closure plan.
- g. Progressively Rehabilitate environments disturbed or occupied by Bauxite Mining activities, as soon as practicable.
- h. Put in place financial provisions to ensure availability of adequate resources to meet Rehabilitation and mine closure requirements.
- i. Publicly disclose and share with Affected Populations and Organisations a data driven annual report on the implementation and effectiveness of the Mine Rehabilitation and closure plan.

Application:

This criterion applies to Bauxite Mining Facilities.

C. Social (Principles 9-11)

9. Human Rights

Principle: The Entity shall respect and support individual and collective Human Rights affected by its operations. The Entity shall take appropriate action to assess, prevent and remedy potential adverse impacts on Human Rights in a manner that is consistent with international instruments on Human Rights.

- 9.1 **Human Rights Due Diligence.** The Entity shall respect Human Rights and observe the UN Guiding Principles on Business and Human Rights in ways appropriate to its size and circumstances including, as a minimum:
- a. A gender-responsive Policy commitment to respect Human Rights, with:
 - i. Review of the Policy commitment at least every 5 years.
 - ii. Review of the Policy commitment on any changes to the Business that alter Material Human Rights risk(s).
 - iii. Review of the Policy commitment on any indication of a control gap.
 - iv. Public disclosure of the latest version of the Policy commitment.
 - b. A gender-responsive Human Rights Due Diligence process that is developed in Consultation with and, where possible, with the participation of Affected Populations and Organisations, and seeks to identify, prevent, mitigate and account for how it addresses its actual and potential impacts on Human Rights, including any Material Legacy Impacts for the Entities' own operations and for products or services provided through Business relationships with:
 - i. Review the Human Rights Due Diligence process at least every 5 years.
 - ii. Review the Human Rights Due Diligence process after any changes to the Business that alter Material Human Rights risk(s).
 - iii. Review the Human Rights Due Diligence process on any indication of a control gap.
 - c. A mapping of Affected Populations and Organisations to ensure Affected Populations and Organisations are:
 - i. Engaged by the Entity.

- ii. Consulted about operational activities and potential significant Human Rights impacts and informed of the operation's Complaints Resolution Mechanism.
- d. Where the Entity identifies, through Due Diligence and/or grievances, as having caused or contributed to adverse Human Rights impacts, it shall provide for or cooperate in their remediation through legitimate processes.

Application:

Where Indigenous Peoples are involved, FPIC (Criterion 9.4) may apply.

9.2 Gender Equity and Women's Empowerment. The Entity shall:

- a. Implement a program which promotes gender equity and women's empowerment in:
 - i. employment practices;
 - ii. training opportunities;
 - iii. awarding of contracts;
 - iv. processes of engagement;
 - v. management activities.

And, at a minimum, addresses barriers to professional development, Discrimination, Violence and Harassment.
- b. Review the program at least every 5 years.
- c. Review the program after any changes to the Business that alter Material gender equity risk(s).
- d. Review the program on any indication of a control gap.
- e. Publicly disclose the effectiveness of the measures taken to promote gender equity on an annual basis.

Application:

This criterion applies to all Facilities.

9.3 Indigenous Peoples. The Entity shall:

- a. Implement Policies and processes that ensure respect for the rights and interests of Indigenous Peoples, consistent with international standards, including ILO Convention 169 and UN Declaration on the Rights of Indigenous Peoples.
- b. Develop and document a process for identifying Indigenous Peoples based on their linguistic, social, governance and resource-linked characteristics rather than state recognition.
- c. Demonstrate internal capacity (personnel, resources) to implement the process through evidence-based analysis that includes meaningful stakeholder engagement.
- d. Review the Policies and processes at least every 5 years.
- e. Review the Policies and processes after any changes to the Business that alter risks to the rights and interests of Indigenous Peoples.
- f. Review the Policies and processes on any indication of a control gap.
- g. Publicly disclose the latest versions of the Policies and processes.
- h. Demonstrate internal capacity to map indigenous communities by their cultural characteristics, rather than legal designations, and to engage meaningfully.

- i. Inform Indigenous Peoples of the relevant ASI Performance Standard requirements and the ASI Certification Audit process, including their involvement, in a manner that is accessible, timely and understandable.

Application:

This criterion applies to all Facilities where the presence of Indigenous Peoples or their lands, territories and resources is identified through an assessment that is rooted in meaningful stakeholder engagement.

- 9.4 **Free, Prior, and Informed Consent (FPIC).** The Entity shall Consult and cooperate in good faith with the Indigenous Peoples concerned through their own representative institutions in order to obtain their Free, Prior and Informed Consent (FPIC):
- a. For New Projects or Major Changes to existing projects that may have Material impacts on the Indigenous Peoples associated culturally and living on the relevant lands within the Entity’s Area of Influence, prior to the approval of any project affecting their lands or territories and other resources, particularly in connection with the development, utilization or exploitation of mineral, water, energy or other resources.
 - b. Where engaged in Bauxite Mining:
 - i. Prior to commencing a new phase of operations affecting their lands or territories and other resources, particularly in connection with the development, utilization or exploitation of mineral, water or other resources.
 - ii. Prior to altering an existing Mine Rehabilitation and closure plan affecting their lands or territories and other resources, particularly in connection with the development, utilization or exploitation of mineral, water or other resources.
 - c. Where FPIC is required in 9.4 a or b: Demonstrate that the consent is supported by the Indigenous Peoples community.

Application:

For New Projects and Major Changes initiated pre-2022: this criterion applies only to those projects initiated after the Entity joined ASI.

For New Projects and Major Changes initiated from 01 January 2022 onwards: this criterion applies to all projects.

Criterion 9.4(a) applies to all Facilities.

Criterion 9.4(b) applies to all Bauxite Mines.

Criterion 9.4(c) applies if either 9.4(a) or (b) applies.

- 9.5 **Cultural and Sacred Heritage.** The Entity shall:
- a. In Consultation with and, where possible, with the participation of Affected Populations and Organisation, identify sacred or cultural heritage sites and values within the Entity’s Area of

Influence and take appropriate action to avoid or remedy impacts, as well as to ensure continued rights of access to such sites or values.

- b. Where a project may significantly impact on cultural, historical or spiritual heritage that is essential to the identity of Indigenous Peoples, priority shall be given to the avoidance of such impacts. Where the impacts are unavoidable, the Entity shall obtain the Free, Prior and Informed Consent of Indigenous Peoples.

Application:

Criterion 9.5(b) applies to all Facilities where the presence of Indigenous Peoples or their lands, territories and resources is identified.

9.6 Displacement. The Entity shall:

- a. Consider feasible alternatives in project designs to avoid or minimise physical and/or economic displacement, while balancing environmental, social, and financial costs and benefits, paying particular attention to impacts on the poor and Vulnerable or At-Risk, including women.
When physical or economic displacement is unavoidable the Entity shall:
- b. In Consultation with and, where possible, with the participation of Affected Populations and Organisations, develop a Resettlement Action Plan that covers, at a minimum:
 - i. the applicable requirements of IFC Performance Standard 5 (Land Acquisition and Involuntary Resettlement)
 - ii. compliance with Applicable Law regardless of the number of people affected
 - iii. living conditions and income generating options, which should equal or exceed those prior to displacement.
- c. Review the Resettlement Action Plan at least every 5 years
- d. Review the Resettlement Action Plan after any changes to the Business that Materially alter the conditions under which the plan was created.
- e. Review the Resettlement Action Plan on any indication of a control gap.
- f. Publicly disclose the latest version of the Resettlement Action Plan, including the number of people impacted.
- g. Progress against the Resettlement Action Plan shall be shared with Affected Populations and Organisations annually for the duration of its implementation or in the event of a deviation from the Resettlement Action Plan.
- h. Obtain the Free, Prior and Informed Consent of Indigenous Peoples where Indigenous Peoples are involved in the displacement.
- i. Publicly disclose the Free, Prior and Informed Consent, where relevant and obtained or not obtained.

Application:

For New Projects and Major Changes initiated pre-2022: this criterion applies only to those projects initiated after the Entity joined ASI.

For New Projects and Major Changes initiated from 01 January 2022 onwards: this criterion applies to all projects.

9.7 Affected Populations and Organisations.

The Entity shall respect, in ways appropriate to its size and circumstances, the legal and customary rights and interests of Affected Populations and Organisations in their lands, livelihoods and use of natural resources, including, as a minimum:

- a. Implement a plan to identify, prevent, monitor, mitigate and account for any significant impacts, including health and safety, social and cultural Human Rights and environmental impacts resulting from its activities.
- b. Develop the plan in Consultation with and, where possible, with the participation of Affected Populations and Organisations.
- c. In accordance with the plan, commit resources to Local Community development.
- d. Review the plan at least every 5 years.
- e. Review the plan after any changes to the Business that alter Material environmental, social and governance risk(s).
- f. Review the plan on any indication of a control gap.
- g. Publicly disclose the latest version of the plan.
- h. Explore with Affected Populations and Organisations opportunities to respect and support their livelihoods.

Application:

This criterion applies to all Facilities.

9.8 **Conflict-Affected and High-Risk Areas.** In order to avoid involvement in armed conflict or Human Rights abuses, the Entity shall exercise risk-based Due Diligence over its Aluminium supply chain in accordance with the OECD Due Diligence Guidance of Minerals from Conflict-Affected and High-Risk Areas (OECD Guidance) in ways appropriate to its size and circumstances including, as a minimum:

- a. Establish strong Management Systems, including a supply chain Policy, responsibilities and resources, information gathering and supplier engagement (Step 1)
- b. Identify and assess risks in the supply chain (Step 2)
- c. Design and implement a strategy to respond to identified risks (Step 3)
- d. Undergo audit of Due Diligence practices (Step 4)
- e. Report annually on supply chain Due Diligence (Step 5).

Application:

This criterion only applies to Entities that source directly or indirectly any Bauxite, Alumina or Primary Aluminium.

9.9 **Security practice.** In line with recognised Standards and good practices, the Entity shall respect Human Rights in its involvement with private, including in-house, and public security providers.

Application:

This criterion applies to all Facilities.

10. Labour Rights

Principle: The Entity shall uphold decent work and the Human Rights of Workers and treat them with dignity and respect, in line with the ILO core Conventions and other relevant ILO Conventions.

10.1 **Freedom of Association and Right to Collective Bargaining.** The Entity shall:

- a. Respect the rights of Workers to form or join Labour Unions or other Associations to Collective Bargain within the bounds of Applicable Law. The decision whether to join a Labour Union or other association shall be made solely by the Worker.
- b. Respect the rights of Workers to Collective Bargaining, participate in any Collective Bargaining process in good faith, and adhere to Collective Bargaining agreements where such agreements exist.
- c. Respect that Labour Unions or other associations have the right to:
 - i. Develop their constitutions and rules, to elect their representatives in full freedom, to organise their administration and activities and to formulate their programs to the extent possible under Applicable Law.
 - ii. Organise.
 - iii. Within the bounds of Applicable Law, Collectively Bargain on behalf of the Workers.
- d. Where an Entity operates in a country where Applicable Law restricts the right to Freedom of Association and Collective Bargaining: promote the involvement of Workers in industrial relations of the Facility through alternative means of association for Workers that are permitted under Applicable Law. These alternative means shall, at a minimum, ensure a climate free of violence, pressure, fear and threats with the participation of freely elected worker representatives engaged in a regular and formalised process.

Application:

Criterion 10.1(a)(b) and (c) apply only in Countries where the right to Freedom of Association and Collective Bargaining are not restricted.

Criterion 10.1(d) applies only in Countries where the right to Freedom of Association and Collective Bargaining are restricted.

10.2 **Child Labour.** The Entity shall ensure:

- a. That all Workers are over the age of 15 years.
- b. That work for 15 through 18 year olds is not exploitive, Hazardous or interfering with schooling and apprenticeship programs.
- c. That there are no instances of the Worst Forms of Child Labour that are likely to harm the health, safety or morals of any child under 18.

Application:

This criterion applies to all Facilities.

10.3 Forced Labour. The Entity shall:

- a. Neither engage in nor support the use of Forced Labour.
- b. Neither directly, nor through any direct or contracted employment or recruitment agencies:
 - i. Engage in or support Human Trafficking.
 - ii. Require any form of deposit, Recruitment Fee, Costs and Charges or equipment advance from Workers either directly or through employment or recruitment agencies.
 - iii. Require Migrant Workers to lodge deposits or security payments at any time.
 - iv. Hold Workers in Debt Bondage or force them to work in order to pay off a debt.
 - v. Restrict the freedom of movement of Workers in the workplace or in on-site housing unless legal, reasonable, necessary, timebound and proportionate.
 - vi. Retain original copies of Workers' identity papers, work permits, travel documents or training certificates.
 - vii. Deny Workers the freedom to terminate their employment at any time without penalty, given notice of reasonable length.
- c. Publicly disclose an annual Modern Slavery Statement detailing their actions to address modern slavery.

Application:

This criterion applies to all Facilities.

10.4 Non-Discrimination. The Entity shall:

- a. Ensure equal opportunities and shall not engage in or support Discrimination in
 - i. Hiring;
 - ii. Salary;
 - iii. Promotion;
 - iv. Training;
 - v. Advancement opportunities or
 - vi. Termination of any Worker on the basis of gender, race, national or social origin, caste, religion, disability, political affiliation, sexual orientation, marital status, family responsibilities, age, or any other condition that could give rise to Discrimination.
- b. Undertake objective appraisals of jobs on the basis of the work to be performed to verify equitable rates of pay.
- c. Promote a culture of non-discrimination.

Application:

This criterion applies to all Facilities.

10.5 Communication and Engagement. The Entity shall ensure open communication and direct engagement with Workers and their representatives regarding working conditions and resolution of workplace and compensation issues, without threat of reprisal, intimidation or Violence and Harassment.

Application:

This criterion applies to all Facilities.

10.6 Violence and Harassment. The Entity shall:

- a. Implement, in consultation with Workers and their representatives, a workplace Policy on Violence and Harassment.
- b. Review the Policy at least every 5 years.
- c. Review the Policy on any changes to the Business that alter Material risk(s) of Violence and Harassment.
- d. Review the Policy on any indication of a control gap.
- e. Publicly disclose the latest version of the Policy.
- f. Take into account Violence and Harassment in the management of Occupational Health and Safety and identify hazards and assess the risks of Violence and Harassment, with the participation of Workers and their representatives, and take measures to prevent and control them.
- g. Provide to Workers and other persons concerned information and training, in accessible formats as appropriate, on the identified hazards and risks of Violence and Harassment and the associated prevention and protection measures.

Application:

This criterion applies to all Facilities.

10.7 Remuneration. The Entity shall:

- a. Ensure Workers have a written description of terms and conditions of employment in a language and format they understand.
- b. Respect the rights of Workers to a living wage and ensure that wages paid for a normal working week shall always meet at least a legal or industry minimum standard and shall be sufficient to meet the basic needs of Workers and to provide some discretionary income.
- c. Pay a premium of at least the equivalent of 25% for work that exceeds 40 hours per week, except in situations of a collective agreement, salaried Workers or extended work shifts where work hours are averaged over a certain period.
- d. Make wage payments that are timely, in legal currency and fully documented.

Application:

This criterion applies to all Facilities.

10.8 Working Time. The Entity shall:

- a. Comply with Applicable Law and industry standards on Working Time (including Overtime working hours), public holidays and paid annual leave.
- b. Ensure Workers have, at a minimum, an average of one day off per seven-day period.
- c. Ensure the workday does not exceed 8 hours on average over a six-month period.

Application:

This criterion applies to all Facilities.

10.9 **Informing Workers of Rights.** The Entity shall:

- a. Inform Workers of their rights, as protected in this Principle.
- b. Where Freedom of Association and Collective Bargaining are restricted by Applicable Law then it is expected that Entities would inform Workers of the requirements of 10.1 (d).

Application:

This criterion applies to all Facilities.

11. Occupational Health and Safety

Principle: The Entity shall provide safe and healthy working conditions for all Workers.

11.1 **Occupational Health and Safety (OH&S) Management System.** The Entity shall:

- a. Implement a documented OH&S Management System applicable to all Workers and visitors that includes the following components:
 - i. Organizational context
 - ii. Leadership & worker participation
 - iii. Planning
 - iv. Support
 - v. Operation
 - vi. Performance evaluation
 - vii. Improvement.
- b. Review the OH&S Management System at least every 5 years.
- c. Review the OH&S Management System after any changes to the Business that alter Material OH&S risk(s).
- d. Review the OH&S Management System on any indication of a control gap.
- e. Publicly disclose the effectiveness of the OH&S Management System on an annual basis, including:
 - i. Leading and lagging indicators
 - ii. Comparative analyses of performance with peer Businesses and leading practice

Application:

This criterion applies to all Facilities.

11.2 **Employee engagement on Health and Safety.** The Entity shall provide Workers with a mechanism, such as a joint health and safety committee, by which they can raise, discuss and participate in the resolution of Occupational Health and Safety issues with management.

Application:

This criterion applies to all Facilities.

Glossary

The Glossary has been moved to the **ASI Glossary** document.



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