# Appendix 1 - ASI Complaints Form

**Submitting a Complaint**

To submit a Complaint, please fill out this form and send it by post or email to:

|  |  |
| --- | --- |
| Post: | ASI Complaints OfficerAluminium Stewardship Initiative LtdPO Box 4061Balwyn East VIC 3103AUSTRALIA |
| Email:  | complaints@aluminium-stewardship.org  |
| Telephone: | +61 3 9857 8008 (only for information) |

**Responsibilities of parties**

Complaints will be dealt with in accordance with the ASI Complaints Mechanism.

**Admissibility (**see sections 7b) and 7c) - Who can someone complain about? What issues can someone complain about?)

**ASI Complaint Details – please complete below or include the information in the submission**

1. **Identification of Parties**

|  |
| --- |
| **Parties** |
| Complainant *(the person or organisation raising the Complaint, unless wishing to remain anonymous – to ASI or the Respondent)*  |  |
| Respondent *(the party who is the subject of the Complaint)* |  |
| ASI Member and/or Facility to which this Complaint relates *(if applicable)* |  |
| Name of Auditor/s to which this Complaint relates*(if applicable)* |  |
| **Contact details for Complainant** |
| Organisation(s) (unless wishing to remain anonymous) |  |

|  |  |
| --- | --- |
| Contact person |  |
| Position/role |  |
| Address |  |
| Phone Number *(including country code)* |  |
| Email address |  |
| **Complainant’s credentials** |
| Please state interest in the Member, Auditor, and/or other subject matter of the Complaint (optional). |  |

If the Complainant is an organisation, the person signing below warrants that they have authority to make this submission and to manage the Complaint on behalf of the above named organisation.

Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (if signing on behalf of an organisation)

Dated: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **Background information**

When preparing the Complaint, it may help to become familiar with the requirements of ASI Certification. For information on:

|  |  |
| --- | --- |
| **Issue** | **See Document(s)** |
| Certification status of a Member | * ASI Assurance Manual
* ASI Performance Standard
* ASI Chain of Custody Standard
 |
| Accreditation status of an Auditor | * ASI Auditor Accreditation Process and Criteria
 |
| Conduct of Audits | * ASI Assurance Manual
 |
| ASI Governance and policies | * ASI Constitution
* Policies
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These documents are available on the ASI website: [www.aluminium-stewardship.org](http://www.aluminium-stewardship.org) or please contact complaints@aluminium-stewardship.org for an emailed copy.

1. **Complaint**
2. **Focus of Complaint (please mark box/es as appropriate):**

[ ]  Membership or Certification status of a Member;

[ ]  Accreditation status of an Auditor, Audit firm or Registered Specialist;

[ ]  Conduct of a Member (during or outside an ASI audit);

[ ]  Conduct of an Auditor during an ASI audit;

[ ]  Conduct of ASI during Auditor accreditation;

[ ]  Conduct of ASI with regard to its governance and/or policies;

[ ]  Conduct of individual(s) involved in ASI governance;

[ ]  Conduct of a Registered Specialist supporting a Member or an audit team

[ ]  Other (provide summary)

1. **Please provide details of any discussions on or attempt made to resolve the matter directly with the Respondent.**
2. **What remedy is being sought in the Complaint?**
3. **Please summarise the Complaint below, referring to attachments and using additional pages where appropriate.**

Additional documentation such as published reports, guidance documents, witness statements, photographs or other materials which substantiate the allegations should be provided wherever possible.

* Do not send original documents, submit copies only.
* Non-confidential versions of documents are requested, to assist ASI to provide the Respondent with relevant details of the Complaint.