

**Anode Sustainability Certification Promotion  
Services Co.,Ltd.**

**安诺德（青岛）检验检测认证有限公司**

**Certification Procedures for ASI Performance  
Standard--(Aluminium Stewardship Initiative)**

**ASI 铝业管理倡议社会责任管理体系认证规则**

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**Approved by: Joseph ZHAO / 赵保安**


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## Foreword/前言

Anode Sustainability Certification Promotion Services Co, Ltd. (short for ASCP), was established in 2020 with CNCA registration number CNCA-R-2020-723.安诺德(青岛)检验检测认证有限公司成立于2020年, CNCA 注册(注册号#: CNCA- R-2020-723)。

ASCP strictly implements the regulations of the Peoples Republic of China on Certification and ISO/IEC17065 accreditation requirements as well as other relevant accreditation norms. ASCP does not engage in any activities that impair impartiality provides services to all certification applicants on an equal basis, and is fully committed to the CCAA requirements industry self-discipline. /ASCP 严格执行《中华人民共和国认证条例》和ISO/IEC17065 认证要求及其他相关认证规范。ASCP 不从事任何有损公正性的活动, 平等为所有认证申请人提供服务, 接受 CCAA 行业自律的管理要求。

This ASCP procedure was developed to follow the purpose of the ASI Assurance Manual created by ASI Secretariat, to set out the principles, Procedures and objectives for the assurance system that support the ASI Certification process. 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. /ASCP此程序规则是根据ASI 秘书处制定的铝业认证保证手册来实施的, 该手册规定了支持ASI认证过程的保证体系的原则、程序和目标。ASI认证计划旨在激励和支持ASI绩效标准的采用, 为负责任的铝生产、采购和管理提供独立的保证。本程序描述了依据ASI 绩效标准(本标准)定义的环境、社会 and 治理原则和标准, 从而为铝的负责任生产、采购和企业治理提供独立的审核。

This procedure describe the certification process and requirements for companies that wish to become certified against ASI Performance Standard and is part of ASI Certificated contractual agreement. /本程序描述了希望获得ASI绩效标准认证的公司的认证过程和要求, 并且是ASI认证合同协议的一部分。

*Note:*注:

CNCA-Certification and Accreditation Administration of the People's Republic of China CNCA-中国国家认证认可监督管理委员会的英文缩写


CCAA-China Certification and Accreditation Association

CCAA-中国认证认可协会的英文缩写

ASCP- Anode Sustainability Certification Promotion ServicesCo, Ltd

ASCP-安诺德 (青岛) 检验检测认证有限公司


ASI Secretariat- ASI 秘书处

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This procedure is version A/1, issued on May 21, 2025, and implemented on May 21, 2025./此程序文件是A/1 版本，于2025 年5月21日发布，2025 年5月21日实施。

ASCP requires all departments and all employees (including full-time/part-time auditors and technical experts) to conscientiously implement the company's quality policy and strictly implement the provisions and requirements of this procedure. / ASCP要求各部门和全体员工(包括全职/兼职审核员和技术专家)认真贯彻公司的质量方针，严格执行本程序的规定和要求。


All ASCP staff are required to carefully study and implement the instructions for implementing this procedure. /要求ASCP全体人员认真学习并贯彻对此文件发布实施的指令。

General Manager: Zhao Baoan

总经 理：赵保安

May 21, 2025

2025 年5月21日

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## 1. Scope/适用范围

This ASCP procedure aims to follow the ASI Certification program to incentive and support the uptake of the ASI Performance Standard, to provide independent assurance of responsible production, sourcing and stewardship of Aluminium, makes clear provisions for ASCP organizations to ensure compliance with all relevant certification requirements./ASCP规则旨在遵循ASI认证计划，以激励和支持ASI绩效标准的采用，为铝的负责任生产，采购和管理提供独立保证,并为ASCP组织确保符合所有相关认证要求作出了明确规定。

This procedure is part of ASI Certificated contractual agreement, an integral part of ASCP audit agreement. /本规则是ASI认证合同协议的一部分, 是 ASCP 审核协议的组成部分。


- 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.

铝管理倡议（ASI）是一个非营利组织，旨在管理铝价值链的独立第三方认证计划。ASI 标准规定了环境、社会和管理原则和标准。它旨在解决与铝的生产和实质性管理相关的可持续性 问题，从铝 土矿的开采到商业和消费品的生产，以及消费前和消费后废料的再生。在“生产和转 化加工”与“工业用户”两个会员类别中的 ASI 会员，必须在其加入ASI 两年内，至少有一个设 施取得绩效标准认证。

## 2. Reference Standards/引用标准

Document Name/文件名	Type/类型
ASI-Assurance-Manual-V2.1_ASI 保证手册	Normative, Certification standard/规范、认证标准
ASI-Performance-Standard-Guidance_ASI 绩效标准指南	Certification standard/认证标准
ASI-Audit-Report-Oversight-Assessment-Procedure_ASI审计报告监 督评估程序	Normative/规范
ASI Auditor Accreditation Procedure&ASI Auditor Competence and Assessment Procedure_ASI 认可的审核员认可及审核员能力和评 估过程	Normative/规范
ASI Standards Benchmarking and Recognition Procedure /ASI 标准基准和协调程序	Normative/规范
ASI-Glossary/ASI 术语和定义	Normative/规范
ISO 17065	Normative/规范
General Certification Requirements for Certification Bodies/认 证机 构基本认证要求	Normative/规范

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### 3. Term and definition/术语和定义

**ASI Accreditation/ASI 认可:** A recognition by ASI of the necessary competence to carry out ASI Audits./由 ASI 认可具备了执行 ASI 审核的必要能力。

**ASI Accredited Auditor (Auditor)/ASI 认可的审核员:** A qualified person individually accredited by ASI who conducts ASI Audits on behalf of and under the responsibility of an ASI Accredited Auditing Firm./满足 ASI 目标选择标准，并受托开展 ASI 审核的独立第三方人员或 机构。

**ASI Accredited Auditing Firm/ASI 认可的审核公司:** A Conformity Assessment Body meeting ASI's objective selection criteria and accredited to carry out ASI Audits./符合 ASI 的客观选择标准并被认可进行 ASI 审核的合格评定机构。

**ASI Audit/ASI 审核:** 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./系统、独立有据可查的过程,用于获取和评估客观证据,以确定ASI 成员满足 ASI 认证要求的程度。 审核类型包括认证审核、监督审核和再认证审核。

**ASI Certification (Certified)/ASI 认证:** 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./ASI 根据 ASI 认证审核员的审核结果发出的证明，表明已针对适用的 ASI 标准和文件证明范围达到了要求的符合性水平。

**ASI Secretariat/ASI 秘书处:** Individuals employed or contracted by ASI to carry out Secretariat functions for the organization. This includes responsibility for implementation of the ASI assurance system, including the Oversight Mechanism as noted./由 ASI 雇用或签约以履行该组织秘书处职能的个人。这包括对实施 ASI 保证体系的责任,包括所所述的监督机制。

**Audit Report/审核报告:** 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, *elementAl*./由 ASI 认可的审核公司出具的审核报告,并通过 ASI elementAl 保证平台提交给成员和 ASI。

**Certification Period/认证周期:** 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./认证有效的时间，此后必须通过再认证审核或新的认证审核来续订认证。 认证期限为一年或三年，具体取决于认证审核的结果。

**Certification Scope/认证范围:** 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



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Certification./ASI 成员自行确定认证范围，他们需要明确哪部分业务、设施和/或业务活动申请 ASI 认证。

**Certification Status/认证状态:** 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 of Provisional Certification./成员的认证状态取决于 ASI 审核的结果。成员认证状态可能是未认证、临时认证或完全认证。

**Conformance/符合性（合格）:** The Entity's Policies, systems, procedures and processes, within the defined Certification Scope, perform in a manner that conforms to the applicable Criterion.实体的政策、系统、程序和过程，在定义的认证范围内，以符合适用标准的方式执行。

**Conformance Rating/符合性等级** Self Assessment or Audit findings rated as: • Conformance • Minor-Non-Conformance • Major Non-Conformance • Not Applicable/自我评估或审核结果为: •符合性（合格）• 轻微不符合 • 严重不符合 • 不适用

**Conformity Assessment Body (CAB)/合格评定机构（CAB）:** An independent third party organisation that undertakes conformity assessment techniques and activities, including audits.一个独立的第三方组织，负责进行合格评定技术和活动，包括审核。


**elementAI:** ASI's cloud-based platform for managing the ASI assurance and Certification process and associated data. ASI基于云的平台，用于管理ASI保证和认证流程以及相关数据。

**Minor Non Conformance/轻微不符合:** 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 NonConformance.在定义的认证范围内，实体的政策、体系、过程和程序，以不完全符合标准的方式执行，这是由于绩效、规程或控制的孤立失效而造成的，但不会导致严重不符合项。

**Multi-Site Organization /Entity 多场所组织/实体:** 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 Organization 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.有确定的中央总部(或职能办公室、地理总部等)，控制或监督执行实体活动的场所或分支机构的管理。一个多场所的组织不需要是一个独特的法律实体，但是所有的场所都应该与中央总部具有法律或合同的衔接，并且要服从一个共同的管理系统。

**Non-Conformance 不符合:** A situation where the Entity's Policies, systems, Procedures or processes, within the defined Certification Scope, do not conform to the applicable ASI Standard.在定义的认证范围内，实体的方针、体系、过程或程序不符合适用的ASI标准。

**Overall Maturity Rating (OMR)/总体成熟度等级（OMR）:** A rating of maturity (low, medium or high) in terms of Systems, Residual Risk and Performance assigned to a defined Certification

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Scope, determined by an Auditor在体系、风险和表现方面的成熟度等级(低、中、高)，由指定的认证范围关联，并由审核员确定。

**Production and Transformation/生产和转化成员类别:** An ASI membership class that is open to organizations 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.从事如下活动之一或多个类型的组织：铝土矿开采、氧化铝精炼、铝冶炼、铝再熔化/精炼、半加工和/或材料转化。生产和转化型成员必须为其至少一个设施或产品线寻求 ASI 认证。

**Provisional Certification/临时认证:**Certification where there is at least one Major Non-Conformance identified.确认至少有一个严重不符合项的认证。

**Surveillance Audit/监督审核:**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. 由 ASI 认可的审核员在认证期内进行的独立评审，以确保成员继续符合在已定义的认证范围内适用的 ASI 标准。

**Re-Certification Audit再认证审核:** A Certification Audit conducted at the end of the Certification Period to renew the Member’s Certification.在认证期结束时进行的认证审核，以更新成员的认证。

**Statement of Conformance符合性声明:**The Statement of Conformance is completed and signed by the Lead Auditor, and includes: The overall determination of Conformance for the Member’s defined Certification Scope, for the purposes of issuing Certification. Confirmation of the conditions under which the Audit was conducted, including that there were no material conflicts of interest present. 符合性声明由首席审核员完成并签署，包括: 为了签发认证证书，对成员所定义的认证范围的符合性的总体确定。确认进行审核的条件，包括目前没有实质性的利益冲突。

**Summary Audit Report/审核报告摘要:** An extract from the Audit Report that is published on the ASI website.在 ASI 网站上发表的审核报告摘要。

4. General Requirements/一般要求

4.1 Legal and contractual matters/法律及合约事宜

4.1.1 Certification agreement/认证协议

ASCP signs a legally binding certification agreement with all its customers, which is formulated in accordance with the relevant requirements of ISO17065 and General Certification Requirements for

Certification Bodies. This procedure is an integral part of the contractual agreement between ASCP and each customer for ASI Performance Standard Certification Procedure./ ASCP根据 ISO17065 的

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相关要求和认证机构通用认证要求，与所有组织签订了具有法律约束力的认证协议。此规则是 ASCP 与组织之间关于的合同协议的组成部分。

The customer shall sign the agreement to contract demonstrate its commitment to comply with the requirements of the relevant certification scheme. ASCP will not be in a position to offer any ASI Performance Standard services prior to the agreement being signed by both parties./ 组织须签署合约协议，以显示其遵守有关认证计划要求的承诺。在双方签署本协议之前，ASCP 无法提供任何社会责任体系认证服务。

The agreement can be terminated as follow: /本协议终止方式如下：

- ASCP's customer has the right to withdraw from the certification agreement through formal written notification with at least 30 days notification./ ASCP 的客户有权在 30 天内以正式书面形式通知撤销认证协议。
- ASCP reserves the right to terminate the certification agreement for failure to pay the agreed certification fees or if the organization fails to comply with the certification requirements as outlined in this document./ ASCP 保留终止认证协议的权利，如果该组织未能支付约定的认证费用或未能遵守本文件中概述的认证要求。

ASCP specifically requires its customers to keep records of all complaints related to certification requirements and provide these records to ASCP./ ASCP 特别要求组织保存所有与认证要求有关的投诉记录，并将这些记录提供给 ASCP

During the audit, the customer complaint records are regularly checked./ 在审核过程中，定期检查组织投诉记录。

## ASCP-BCP002-Certification-Key-Terms-and-Definitions

### 4.1.2 Management of Impartiality/公正性管理

In compliance with ISO 17065 requirements, ASCP is committed to provide impartial certification services while managing any potential conflict of interest. ASCP has implemented procedures that do not discriminate or limit access to certification. ASCP's services are open to all applicants whose activities are within the scope of ASCP's operations. ASCP does not restrict the implementation of certification to the size of the customer, the membership of an association or body, or the number of certificates already issued. Top management makes the following commitment to impartiality in certification service: / 遵照 ISO 17065 的要求，ASCP 致力于提供公正的认证服务，同时管理任何潜在的利益冲突。ASCP 实施了不歧视或限制获得认证的程序。凡在 ASCP 经营范围内活动的申请人，均可享受 ASCP 的服务。ASCP 不以组织规模、协会或机构的会员资格或已颁发证书的数量来限制认证的实施。最高管理层对认证服务过程中的公正性声明如下：

- ASCP top management has a deep understanding of the importance of impartiality in the implementation of certification activities, providing impartial and competent certification services to

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all parties concerned, and providing trust to all parties concerned ASCP;/最高 管理层深刻理解公正性在实施认证活动中的重要性, 为所有认证相关方提供公正、有 能力的认证服务, 向所有认证相关方提供信任;

- ASCP fully recognizes, analyzes and documents conflicts of interest arising from certification activities, and effectively manages and controls activities and relationships that affect impartiality. To ensure that impartiality is not affected in any way by other interests or other parties (units or individuals); /ASCP对由认证活动引起的利益冲突进行充分认识和分析并形成文件, 对影响公正的活动和关系进行有效管理和控制。确保公正性不受其他利益或其他各方（单位或个人）的任何影响;

- ASCP does not provide consulting services in any way, does not cooperate with any consulting institutions, independently signs certification contracts, and does not imply that if the applicant chooses a consulting or training institution, it can make certification simpler, easier, faster or cheaper, nor does it allow any link or statement of consulting institutions to declare or imply;/ASCP不提供任何方式的咨询服务, 不与任何认证咨询机构有合作关 系, 独立签署认证合同 , 更不暗示申请方若选择某家咨询或培训机构, 可使认证更为简单、容易、迅速或廉价 , 也不允许任何咨询机构的链接或声明宣称或暗示;

- ASCP certification personnel (including management and inspection personnel) who have provided certification consultation to the organization shall not be used for inspection or other certification activities against the organization for two years after the completion of the consultation;/ASCP的认证人员（包括管理人员、检查人员） 如曾经对组织提供过认证咨询, 在咨询结束后两年内, 不被用于针对该组织的审核/检查或其他认证活动;

- ASCP does not provide any other product and service that may impair the confidentiality, objectivity or impartiality of its certification process and decisions, and actively manages the identification, elimination and reduction of these risks./ ASCP不提供任何其他可能损害其 认证过程和决策的保密性、客观性或公正性的产品和服务, 并积极管理这些风险的识 别、消除和减少。

- All ASCP employees, whether internal or external, or members of committees and board are committed to acting impartially, disclosing any potential or existing conflicts of interest, or any situation (commercial, financial, personal or any other relationship) that may pose a risk to impartiality./ 所有 ASCP员工, 无论是内部还是外部, 或委员会的成员、董事会成员 都致力于公正行事, 披露任何潜在的或现有的利益冲突, 或任何可能对公正构成风险 的情况(商业、财务、个人或任何其他关系)。

- All ASCP employees in any occasion will not accept gifts from certification organizations, including gifts, gifts, securities, jewelry, etc;/ ASCP所有工作人员在任何场合均不收受认 证组织的馈赠, 包括礼金、礼品、有价证券、珠宝首饰等;

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- ASCP auditors shall not participate in the banquets and entertainment arranged by the organization when performing their inspection tasks./ASCP检查人员在执行检查任务时，不参加受检查方安排的宴请和娱乐活动。

Note:

ASCP may decline application for certification in case of justified reasons, such as customer involvement in illegal activities, or past repeated non compliance with certification requirements and/or product requirements./ 注:如有正当理由，如组织参与非法活动或过去多次违反认证要求和/或产品要求，ASCP可拒绝认证申请。

### 4.1.3 Management of Confidential Information/保密信息的管理

Through the legally binding contractual agreement, ASCP is responsible for the confidential management of all information obtained or generated during the certification process. All information will be treated as confidential with the following exceptions:/ 通过具有法律约束力的合同协议，ASCP负责对认证过程中获得或产生的所有信息进行保密管理。所有信息将被视为机密，但以下情况除外：


- Information disclosed by the customer itself or as agreed between ASCP and the customer, if in response to a complaint./ 组织自身或 ASCP与组织达成协议，因投诉而披露的信息。
- When ASCP is required to make publicly available information that maybe considered as confidential information, ASCP will notify the organization in advance./ 当 ASCP被要求公开可能被视为机密信息的信息时，ASCP将提前通知组织。
- When ASCP is required to disclose some information based on legal requirements. ASCP will notify ASI and the customer/individual concerned of the information provided, unless restricted by law./ 当 ASCP根据法律要求需要披露某些信息时。除非法律另有规定，否则 ASCP会将所提供的资料通知有关组织或个人以及铝业秘书处。

Information about customers obtained from sources other than customers (such as complainants, regulatory authorities) shall be treated as confidential information./ 从组织以外的来源(如投诉者、监管机构)获得的组织信息应被视为机密信息。

Files presented to any relevant ASCP committees are prepared in such a way that no details are included that may identify the organization or the products in question and all sensitive information is removed./ 提交给 ASCP任何相关委员会的文件均不包括可能识别组织或相关产品的细节，并删除所有敏感信息。

The confidentiality obligations in regard to the customer confidential information that set forth in this Section shall survive the termination or expiration of the Agreement for ASCP for a period of five years./关于本节中规定的组织保密信息的保密义务，在 ASCP协议终止或到期后，将继续有效五年。



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4.1.4 Disclosure of public information/公开信息的披露

ASCP (through a public file, website, or other means) provides the following information upon request by relevant stakeholder: /ASCP (通过公开文件、网站或其他方式)应相关利益相关者的要求提供以下信息:

- a) ASCP is committed to making information publicly available regarding its management structure, certification procedures, appeals and complaints procedures. /ASCP致力于将其管理结构、认证程序、申诉和投诉程序等信息公开。
- b) Description of ASCP general information on fees charged to applicants and organizations;/ ASCP对申请人和组织收取的费用的一般资料说明;
- c) Information on complaints and appeal procedures./ 有关投诉及申诉程序的资料。
- d) ASCP will inform organizations about any change or update to the relevant certification standard or procedure./ 有关认证标准或程序的任何变更或更新, ASCP都会通知相关组织。
- e) Public Headline Statements In Public Audit Reports’ requirement and rules. /审核报告中标题声明公开的规则和要求。

The Audit Report (which may include confidential information) is only accessible to the Audit Team, the audited Member, and the ASI Secretariat. As part of ASI Certification, a Public Audit Report is published for every Certification issued. The Audit Report includes key Audit details (such as dates, scopes, supply chain activities etc.), the Conformance findings for each criterion, each supported by a Public Headline Statement that summarises the Auditor’s findings and evidence reviewed.

审核报告（可能包括机密信息）只有审核团队、接受审核的成员和 ASI 秘书处才能查阅。作为 ASI 认证的一部分, 每次颁发的认证都会发布一份公开审核报告。审核报告包括主要审核细节（如日期、审核范围、供应链活动等）、 每项标准的符合性（合格）声明, 每项标准都有一份公共标题声明, 概述审核员的审核结果和审查的证据。


Each ASI Certification will have a unique Certification number to enable tracking of successive Certification Status, which are listed as ‘Revisions’. Certification numbers will remain the same through a Re-Certification process. The history of all ASI Audits and Certification numbers for each Member will be maintained on the ASI website./每个 ASI 认证都有一个唯一的认证编号, 以便跟踪连续的认证状态, 这些状态被列为 "修订"。认证编号在重新认证过程中将保持不变。ASI 成员的所有审核历史和认证编号将保留在 ASI 网站上。

*Note: Related document 相关文件* The ASI Claims Guide \_ASI 索赔指南

4.1.5 Derogation to certification requirements/认证要求的放宽或免除

ASCP has no power for any derogation against any certification requirements. In case when a specific situation may warrant an exception or derogation, ASCP will refer the case back to ASI./ ASCP无权对任何认证要求给予任何宽限。如有特殊情况需要放宽或免除, ASCP会将个案转交 ASI。

When individual organizations seek to deviate from any of the requirements outlined in the ASI normative documents they must first consult with and obtain written approval from ASCP before

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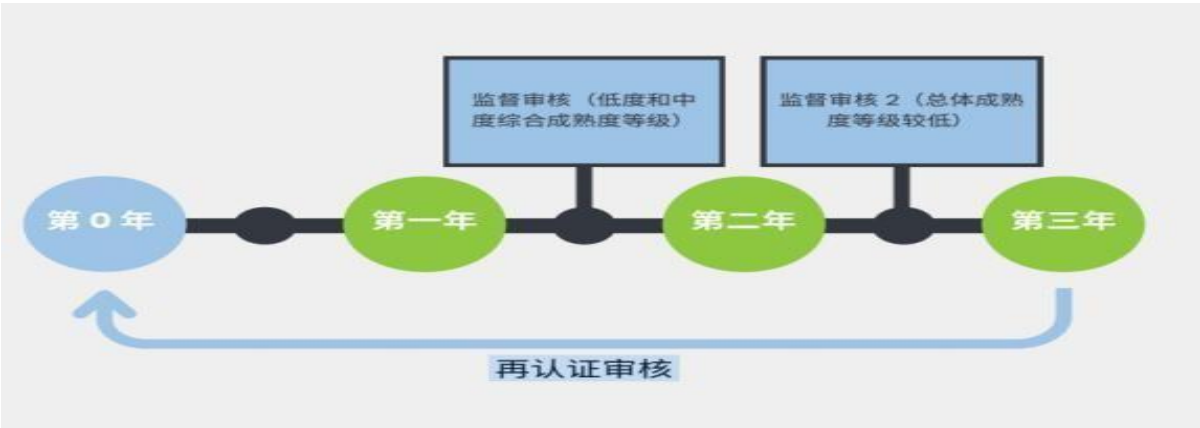
submitting a variation request to ASI. This approval should be evidenced along with the variation request, which needs to be submitted via email. Changes to a Member’s or Auditor’s Business, whether permanent, temporary, or incremental, are common and may be relevant to the integrity of the Certification program. Changes that must be reported to the ASI Secretariat include any changes to a Member’s ASI Certification Scope, or an ASI Accredited Auditors’ Accreditation Scope./当个别组织试图偏离ASI规范性文件中概述的任何要求时，他们必须在向ASI提交变更请求之前先咨询并获得ASCP的书面批准。此批准应与变更请求一起证明，变更请求需要通过电子邮件提交。成员或审核员企业的变更，无论是永久性的、临时性的还是渐进性的，都很常见，而且可能与认证计划的完整性有关。必须向 ASI 秘书处报告的变更包括成员的 ASI 认证范围或 ASI 认可的审核员的认可范围的任何变更。

5. Certification Audit Process/认证审核流程

5.1 General/总则

The audit cycle for organization in the ASI Performance Standard is defined on a 3-year cycle as in the example below./ASI社会责任审核认证中组织的审核周期定义为 3 年周期，如下例所示。

The Certification Period is for three (3) years where the Audit identified full Conformance (zero (0) Non-Conformances) or only Minor NonConformances were identified (认证周期为三(3)年，其中审核确定完全符合性（合格）（零 (0) 个不符合项）或仅确定轻微不符合项。



A Member’s Certification Status and Certification Period are determined by the ASI Accredited Auditor based on the outcome of an ASI Audit and are interrelated.成员的认证状态和认证周期由 ASI 认可的审核员根据ASI 审核结果确定，两者相互关联。

The organization shall ensure that they arrange a re-audit to be conducted at least 90 days prior to the certificate expiry date. ASCP shall follow all the same processes and steps at a re-certification audit as is done for an initial certification audit./组织应确保在证书有效日前至少 90 天安排重新审核。ASCP在再认证审核中应遵循与初始认证审核相同的所有流程和步骤。

The certification process includes the following steps that are detailed in this document:/ 认证过程包括以下步骤，详见本文件:

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- Application to ASCP organization/组织向 ASCP 提交申请
- Application review and approval or rejection by ASCP/申请评审，由 ASCP 批准或拒绝
- Formalisation of contractual agreement between ASCP and the organization/ASCP 和组织之间签署正式化合同协议
- Initial certification audit with document review and onsite audit/首次认证审核，包括文件评审和现场审核。
- Audit An Audit Report summarises the Auditor's findings and conclusions regarding the status and effectiveness of the Member's Policies, systems, Procedures and processes in meeting the applicable ASI Standard according to the Member's Certification Scope. 审核报告总结了审核员对成员的方针、系统、程序和过程在满足成员认证范围内适用的 ASI 标准方面的状态和有效性的审核结果和结论。
- Auditors must complete all Audit Reporting Requirements in elementAL and then the Audit Report is reviewed by the Member. 审核员必须在 elementAL 中完成所有审核报告要求，然后由成员审核审核报告。
- ASI certification decision/ ASI 认证决定  
On receipt of an Audit Report from an Auditor, the ASI Secretariat will undertake an Oversight Assessment before issuing ASI Certification. 在收到审核员的审核报告后，ASI 秘书处将在颁发 ASI 认证证书之前进行监督审核。
- Self -assessment and surveillance audit to ensure that conformity is maintained/自我评估和监督审核以确保符合性保持
- organization maybe required to address any nonconformity that may have been identified during any of ASCP document review and/or onsite audit/组织可能需要解决 ASCP 文件评审和/或现场审核中发现的任何不符合项
- Certificates shall be valid for a maximum of three years from the date of issue. /证书的有效期限从签发之日起最长为三年。

Please note that during the certification cycle, a company may decide to change certification body. In such situation specific requirements have to be followed as indicated in this certification procedure./ 请注意，在认证周期中，公司可能会决定更换认证机构。在这种情况下，必须遵循本认证程序中的具体要求。

## 5.2 Initial Certification Audit/初次认证审核程序

### 5.2.1 ASI Standards and the Certification Process/ASI标准和认证流程

ASCP will require receiving the application form filled in with all the relevant information and signed by the legal representative or authorized representative of the applicant organization. The following document will need to be submitted:/ ASCP 将要求收到填妥所有相关资料并由申请人机构法人代表或授权代表人签署的申请表。申请人须提交以下文件:

- The relevant ASCP Certification Audit Application Form/有关的 ASCP 认证审核申请表格

When receiving an application from a potential organization, ASCP will check that the information provided is complete and if it is the case will send to all applicants the following information:/ 当收到潜在组织的申请时，ASCP 将检查所提供的信息是否完整，如果是这样 ASCP 将向所有申请人发送以下信息:



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- The commercial proposal and contractual agreement to signed by the legal representative of the applicant organization. By signing the contractual agreement, the applicant organization agrees to ASCP terms and conditions and to ensure conformity with all relevant certification requirements, 由申请组织的法定代表签署的商业计划书及合约协议。申请组织签署合 约协议，即表示同意 ASCP的条款和条件，并确保符合所有相关的认证要求
- The latest valid version of ASI-Assurance-Manual- and ASI-Performance-Standard-Guidance/保证手册和社会责任认证有关标准的最新有效版本
- The ASCP certification procedure/ASCP认证程序文件
- ASI-Performance-Standard /ASI 绩效标准
- The audit plan will be sent at least FOUR-SIX weeks prior to the first day of the onsite audit. ASCP audit plan includes the list of all ASCP qualified auditors and technical experts to be involved in the initial document review and certification audit. The applicant organization can object to any ASCP listed auditor or technical expert in case of verified and confirmed conflict of interest /审核计划将在现场审核的第一天前至少4-6周发送。ASCP审核计划包括所有参 与初始文件审核和认证审核的 ASCP合格审核员和技术专家名单。如果证实有利益冲 突，申请组织可以反对任何 ASCP列出的审核员或技术专家。

Please note that any application may be rejected by ASCP in the following cases:/ 请注意，在下列情况下，ASCP可能会拒绝任何申请:

- Not ASI Member or Not belong to ASI membership classes – the ‘Production and Transformation’ and ‘Industrial Users’ /未加入ASI会员或者会员类别不属于必须认证的类别会员
- No Self Assessment by Members against the applicable ASI Standard for the relevant Certification Scope, before the Audit./在审核之前，成员没有针对相关认证范围适用的ASI标准进行自我评估。
- A conflict of interest that could have a potential or perceived impact on ASCP certification decision,/ 可能对 ASCP认证决定产生潜在或感知影响的利益冲突
- A lack of ASCP qualified personnel /ASCP缺乏有资质的人员
- Any other reason or force majeure that makes appropriate certification assessment in compliance with ASCP procedures impossible./其他原因或不可抗力导致无法按照ASCP程序进行适当的认证评估。

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### 5.2.2 Overview of the ASI Certification Process/ASI 认证过程中的步骤:

There are five main steps in the ASI Certification process./在 ASI 认证过程中，有 5 个主要步骤

步骤1	自我评估	<ul style="list-style-type: none"> <li>认证审核的准备阶段。</li> <li>由会员按照其定义的认证范围进行。</li> <li>需要完成的项目必须在 elementAI 保证平台中完成。</li> <li>更多细节见第7部分。</li> </ul>
步骤3	审核前计划	<ul style="list-style-type: none"> <li>审核团队审核自我评估和审核计划</li> <li>审核员与成员敲定审核计划</li> <li>ASI 审核铝土矿开采、氧化铝精炼和铝冶炼的审核计划</li> <li>详见第 8 节。</li> </ul>
步骤3	认证审核	<ul style="list-style-type: none"> <li>由一名 ASI 认可的独立的第三方审核员进行。</li> <li>该过程在加入 ASI 的两年之内进行。</li> <li>基于风险评估的一致性。</li> <li>更多细节见表1和第8部分。</li> </ul>
步骤4	审核报告	<ul style="list-style-type: none"> <li>审核员为 ASI 和会员在 elementAI 保证平台中准备 审核报告。</li> <li>如果被建议获得认证，步骤4开始。</li> <li>有关更多细节，请参见第8.16和8.18。</li> </ul>
步骤5	颁发证书	<ul style="list-style-type: none"> <li>ASI在elementAI 保证平台中检查审核报告。</li> <li>ASI发布认证并更新ASI网站。</li> <li>参见第9章了解更多细节。</li> </ul>
步骤6	定期复审	<ul style="list-style-type: none"> <li>在认证期间/结束时进行监管和重新认证审核(表 1)。</li> <li>验证持续一致性和/或可能评估其他确定的风险。</li> <li>更多细节见表1和第8部分。</li> </ul>

### 5.3 Initial Document review/初始文件评审

ASCP will perform a remote ‘desktop’ Audits document review which will be carried out through a review of the documented system and records specific to the activities of the applicant organization with regards to ASI Performance Standard / ASCP将通过远程审核对申请组织在铝业管理倡议社会责任管理体系标准方面的活动文件体系和记录的审查进行文件审核。

#### 5.3.1 Define the Audit Scope/确定审核范围

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The Audit Scope defines the extent and boundaries of the Audit and is defined by the Auditors in consultation with the Entity seeking Certification. 审核范围定义了审核的范围和界限，由审核员与申请认证的实体征询意见后确定。

### 5.3.2 Estimation of Audit Time Requirements/估算审核所需时间估算

Guidance for the on-site time for Certification Audits is provided in Tables 17 and 18 below and considers guidance as provided by the International Accreditation Forum (IAF) methodology<sup>4</sup>. 依据认证审核现场时间（人日）的指南评估审核所需时间。

### 5.3.3 Build the Audit Team/组建审核团队

In all cases, a Lead Auditor must be appointed and be responsible for being present on-site during the Audit (though in a Multi-Site Audit the Lead Auditor may not necessarily visit all the Facilities in the Audit Scope themselves and may designate to another team member). The Lead Auditor is responsible for ensuring the efficient and effective conduct of the Audit, and ensuring the appropriateness, completeness and accuracy of the Audit Report. 在任何情况下，都必须指定一名首席审核员，负责在审核期间亲临现场（但在多现场审核中，首席审核员不一定要亲自访问审核范围内的所有设施，可指定另一名团队成员）。首席审核员负责确保高效和有效地进行审核，并确保审核报告的适当性、完整性和准确性。

### 5.3.4 Develop the Audit Plan/制定审核计划

An Audit Plan is used to outline what activities will be reviewed, by whom and when, in which functional areas and/or Facilities and involving which Member personnel.

审核计划用于概述将审核哪些活动、由谁审核、何时审核、在哪些职能领域和/或设施审核以及涉及哪些成员人员。

The final Audit Plan should be provided to the Member at least two (2) weeks before the commencement date of the Audit. This will provide the Member with an opportunity to prepare, and where necessary, suggest an alternative timing or order of proceedings./最终审核计划应在审核开始日期前至少两（2）周提供给成员。这将使成员有机会做好准备，并在必要时提出其他时间安排或程序顺序。

**Note: Mandatory Audit Plan Review by ASI Secretariat for upstream Supply Chain Activities/ASI 秘书处对上游供应链活动的强制性审核计划**

Audit Plans for all Initial Certification Audits involving those Entities containing one or more of the supply chain activities of Bauxite Development, Bauxite Mining, High Purity Alumina (HPA) Production, Alumina Refining or Aluminium Smelting must be submitted to the ASI Secretariat for review and approval no later than six (6) weeks before the proposed Audit commencement date涉及包含铝土矿开发、铝土矿开采、高纯氧化铝（HPA）生产、氧化铝精炼或铝冶炼等供应链活动中的一项或多项活动的实体的所有初始认证审核的审核计划必须不迟于拟议审核开始日期前六（6）周提交给 ASI 秘书处审核和批准。

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## 5.4 Onsite audit/现场审核

ASCP conducts onsite audits to ensure conformity of the applicant organization procedures, processes and products with the requirements of the relevant certification standard. /ASCP进行现场审核，以确保申请人组织的程序、过程和产品符合相关认证标准的要求。

ASCP onsite audits include the following steps:/ ASCP现场审核包括以下步骤:

- An opening meeting to be performed by ASCP lead auditor in compliance with ASCP auditing best practices, /由ASCP审核组长按照ASCP审核最佳实践进行首次会议，
- A review of previous non conformities whenever relevant, /对以前的不符合项进行评审
- A review of the organization documented procedures and records as required to complement the initial document review, /必要时对组织形成文件的程序和记录进行审查，以补充最初的文件审查；
- During the onsite audit, ASCP audit team may require to conduct sampling surveys of documents and records in accordance with the requirements of the certification standards to collect objective evidence./现场审核过程中，ASCP审核组可根据认证标准的要求对文件和记录进行抽样调查以此来收集客观证据。

Note: Related document 相关文件

The Appendix 2 – Sampling Techniques--附录 2 - 取样技术

- Interviewing a representative selection of Workers and Affected Populations and Organisations, and

observing the key functions of the Member’s Business.对有代表性的工人、受影响的人群和组织进行访谈，以及观察成员企业的主要职能。

Please note that ASCP audit team will require to perform all interviews in confidence without the presence of any representative of the organization’s management, /在生产现场或在办公室与具有代表性的有关人员面谈。请注意，ASCP审核组将要求在没有任何组织管理代表在场的情况下进行所有面谈。

- Evaluation of Results/结果评估 After the Audit is completed, all Observations and Findings made during the Audit are evaluated. The Observations and Findings of each Audit Team member are collected and integrated, to determine the level of Conformance with each criterion evaluated by the Audit Plan. /审核结束后，要对审核期间提出的所有意见和结论进行评估。收集和整合每个审核团队成员的意见和结论，以确定与审核计划所评估的每项标准的符合性（合格）程度。

- A closing meeting during which ASCP lead auditors presents a summary of the audit process and the audit results with any nonconformity identified during the audit. ASCP lead auditor will also explain to the applicant organization the next steps in the certification process based on the results of

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the audit./ ASCP审核组长在末次会议上对审核过程和审核结果进行总结，并对审核过程中发现的任何不符合项进行总结。ASCP审核组长还将根据审核结果向申请组织解释认证过程中的下一步骤。

For onsite audits, the applicant organization shall provide ASCP audit team with safe access to its facilities and in particular shall ensure that ASCP audit team is fully informed about any potential H&S hazard within the production area and shall be provided with the relevant required PPE./ 对于现场审核，申请组织应为 ASCP审核组提供进入其设施的安全通道，尤其应确保 ASCP审核组充分了解生产区域内的任何潜在的健康安全危害，并提供相关所需的个人防护装备。

## 5.5 Rating Conformance and Developing Corrective Actions/评定符合性等级并制定纠正措施

Rating Conformance with ASI Standards are a central part of the Certification process./符合 ASI 标准（合格）等级评定是认证过程的核心部分。

**5.5.1 Conformance Ratings/符合性（合格）** : The Entity’s Policies, systems, Procedures and processes, within the defined Certification Scope, perform in a manner that is Conformant with the criterion./实体的方针、系统、程序和过程在定义的认证范围内以符合性（合格）标准的方式执行。

### 5.5.2 Non-Conformance Ratings Classification不符合分类

- Minor Non Conformance轻微不符合: 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. 实体的政策、系统、程序和过程在规定的认证范围内，由于在绩效、纪律或控制方面的个别失误，导致其执行方式不完全符合性（合格）标准，但不会导致严重不符合。

- Major Non Conformance/严重不符合: 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: • The total absence of implementation of the criterion • A systemic failure or total lack of required controls • Gross error and/or complete absence of understanding of the criterion; or • A group of related, repetitive or persistent Minor Non- Conformances indicating inadequate implementation. It may also be a situation where the Entity is in Non-Conformance with the criterion and the situation presents a Significant Risk to Workers, the environment or the Community./ 实体的方针、系统、程序和过程，在定义的认证范围内，由于以下原因，执行方式不符合性（合格）标准/完全没有执行标准/系统故障或完全缺乏必要的控制/严重错误和/或完全不理解标准；或一组相关、重复或持续存在的轻微不符合（合格），表明执行不充分。这也可能是实体不符合标准的情况，而这种情况对工人、环境或社区构成了重大风险。



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- Critical Breaches/严重违规 Identification of a potential Critical Breach during an Audit process requires Auditors to immediately notify both the Member and ASI Secretariat through the most efficient and immediate means available to all concerned parties./在审核过程中发现潜在的严重违规时，审核员必须立即通过所有相关方都能使用的最有效和最直接的方式通知成员和ASI秘书处。

Note: The Audit process should be suspended immediately, pending an investigation process initiated in accordance with the Procedures set out in the ASI Complaints Mechanism. If the Member and Auditor agree to continue with the Audit, despite the pending investigation of the potential Critical Breach, the Audit findings will not be finalized until the ASI investigation is complete.审核过程应立即中止，等待按照ASI 投诉机制规定的程序启动调查过程。如果成员和审核员同意继续进行审核，尽管对潜在严重违规的调查尚未结束，审核结果将在ASI 完成调查后才能最终确定。

When potential Critical Breaches are alerted, ASI will determine the process and consequence, including whether any existing certifications should be suspended or revoked during the investigation. The ASI Complaints Mechanism will be followed, and the constructive participation of all relevant parties is expected. 当潜在的严重违规行为被提醒时，ASI 将决定程序和后果，包括在调查期间是否应暂停或撤销任何现有认证。将遵循ASI 投诉机制，并期待所有相关方的建设性参与。

- Not Applicable/不适用 The criterion cannot be implemented by an Entity due to the nature of its Business within the defined Certification Scope./实体因其业务性质而无法在规定的认证范围内实施该标准。

## 5.5.3 Documenting Non-Conformances/记录不符合性（合格）情况

ASCP audit teams may issue non-conformities during ASCP certification audits. Each non-conformity identify requires Reviewing with the Member to ensure the facts are correct and fair and recorded in the Audit Report. ASCP 审核组在认证审核时期间会提出不符合项，每一项发现的不符合项都需要与成员进行评审，以确保事实是正确和公平的，并在审核报告中记录。

## 5.5.4 Corrective Action Plans and Timeframes /纠正措施计划及纠正措施时限

All Non - Conformances, whether Major or Minor, require the Entity to prepare and implement

appropriate Corrective Action Plans. /所有不符合性（合格），无论是严重的还是轻微的，都要求实体制定并实施适当的纠正措施计划。

Corrective Actions for non-conformances should be completed within a specified timeframe/不符合性（合格）纠正措施应在规定时限内完成：

- Minor Non-Conformances should be addressed within 18-24 months/轻微不符合性（合格）应在18-24 个月内解决

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- Major Non-Conformances should be addressed within 6-12 months/严重不符合性（合格）应在 6-12 个月内解决。

Note: Auditors cannot assist in the development of an Entity's Corrective Action Plans to address Non- Conformances against an ASI Standard, and later Audit them, as this would be a conflict of interest./审核员不能协助实体制定纠正措施计划，以解决不符合ASI 标准的问题，并随后对其进行审核，因为这将构成利益冲突。

## 5.6 Audit Result and Certification decision making process/审核结果及认证决定的过程

### 5.6.1 Audit Report 出具审核报告

At the end of each Audit, the main activity is to report the findings to allow the Member to obtain or maintain their Certification. An Audit Report summaries the Auditor's findings and conclusions regarding the status and effectiveness of the Member's Policies, systems, Procedures and processes in meeting the applicable ASI Standard according to the Member's Certification Scope./每次审核结束时，主要活动是报告审核结果，以便成员获得或保持其认证审核。审核报告总结了审核员对成员的方针、系统、程序和过程在满足成员认证范围内适用的 ASI 标准方面的状态和有效性的审核结果和结论。

All information and process steps for Self Assessments and Audits are centrally managed through elementAL, ASI Audit Reports are to be generated through this platform. The Lead Auditor, together

with the Audit Team, ensures that all relevant data is uploaded and that statements made are fair, complete and true. Information provided must be written in a clear, concise and unambiguous manner./自我评估和审核的所有信息和流程步骤都通过 elementAL 进行集中管理，ASI 审核报告将通过该平台生成。首席 审核员与审核团队一起确保上传所有相关数据，并确保所做陈述公正、完整和真实。所提供的信息必须清晰、简明和明确。

Auditors must complete all Audit Reporting Requirements in elementAL and then the Audit Report is reviewed by the Member. It is expected that all required information is entered into elementAL and the review completed by the Member within a maximum of eight (8) weeks from the date of the on site portion of the Audit. If the Auditor cannot meet this timeframe, the ASI Secretariat should be notified as to the reasons why. 审核员必须在 elementAL 中完成所有审核报告要求，然后由成员审核审核报告。预计所有要求的信息都将输入 elementAL，成员将在审核现场部分之日起最多八（8）周内完成审核。如果审核员不能在这一时限内完成审核，应将原因通知 ASI 秘书处。

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### 5.6.2 ASI Audit Reports –Minimum Mandatory Content/ASI 审核报告-最低要求内容

报告部分- 标题	内容
<b>Statement of Conformance</b> /符合性声明	符合性声明由 <i>elementAL</i> 中的首席审核员填写并签署。它记录了对成员所定义认证范 围的符合性（合格）的整体判定，以便颁发认证。它还确认了进行审核的条件，包括不 存在实质性利益冲突。
<b>Summary of findings</b> /调查结果摘要	可通过 <i>elementAL</i> 自动编制单个标准的研究结果摘要。
<b>Member and Standard</b> /成员和标准	包括 <ul style="list-style-type: none"> <li>a. ASI 成员名称</li> <li>b. ASI 会员级别</li> <li>c. 接受审核的实体名称（如果与成员不同，例如子公司）： 1.</li> <li>d. 成员的ASI 协调员（ASI 的主要联系人）</li> <li>e. 正在审核的ASI 标准。</li> </ul>
<b>Entity Overview (Description of Business, Facility and/or Product/Programs)</b> /实体概述（企业、设 施和/或产品/项目说 明）	<ul style="list-style-type: none"> <li>a. 针对每个企业、设施和/或产品/项目：</li> <li>b. 国家和省/州</li> <li>c. 最近的城市/镇/村</li> <li>d. 企业、设施和/或产品/项目的规模（管理面积）（公顷）</li> <li>e. 工人数量</li> <li>f. 现场开展的主要活动简介</li> <li>g. 可销售产品类型</li> <li>h. 可销售产品的年产量</li> <li>i. 开始运营（年）</li> <li>j. 场地的主要物理特征（如锅具生产线的数量、残渣储存区、工厂和加工线、仓库、 制造和包装区、零售设施等的大小和数量）</li> <li>k. 现场其他辅助基础设施（如现场发电站、港口设施、进出道路、办公简易跑道、工 人宿舍、停车场、仓库和堆放区等）</li> <li>l. 距离场地最近的敏感受体（如住宅区、学校、具有重要文化意义的地点、河流和溪 流、自然保护区和其他生物多样性特征</li> <li>m. 产品的原铝目的地（例如，用于欧洲住宅市场的铝门窗框，或</li> </ul>



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	<p>出口到亚洲和北美加 工厂的铝锭和铝棒，或用于直接零售的产品）</p> <p>n. 主要外部利益相关者（如政府/监管机构、社区团体、原住民、附近居民等）</p> <p>o. 当前的建设、升级、扩建或停用活动（如有）。</p>
认证范围（由成员报告并经审核员核实）	<p>包括</p> <p>a. ASI 认证范围的指定方法</p> <ul style="list-style-type: none"> <li>• 企业层面，或</li> <li>• 设施级别，或</li> <li>• 产品/项目级别。</li> </ul> <p>b. 对成员认证范围清晰、全面的描述（见第4.6节）</p> <p>c. 每个设施的工人（雇员和承包商）人数及总数</p> <p>d. 自上次审核以来发生的变化</p> <p>e. 新认证周期内的任何预期变化。</p> <p>上述信息应通过审核员的自我评估提供给审核员。</p>
审核范围	<p>包括</p> <p>a. 审核类型（认证审核、监督审核或再认证审核）</p> <p>b. 参观的设施</p> <p>c. 审查的企业活动/产品</p> <p>d. 评估适用的ASI 标准中的标准</p> <p>e. 首席审核员和任何其他审核团队成员的姓名（包括每个审核团队成员在审核中的具体职责的详细信息）。</p> <p>f. 审核团队其他成员（如注册专家、翻译、观察员等）的姓名、所属单位和作用</p> <p>g. 审核日期。</p>

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审核计划和方法	<p>包括</p> <ol style="list-style-type: none"> <li>审核计划概述</li> <li>审核工作，如有需要，说明偏离 "估算审核时间要求"中指导原则的理由</li> <li>审核计划中的任何限制或无法完成的部分</li> <li>成员在审核过程中的合作程度</li> <li>影响审核范围或目标的任何未解决的冲突、争议或分歧，如 <ul style="list-style-type: none"> <li>成员关键人员的可用性</li> <li>查阅文件和记录</li> <li>观察活动和设施。</li> </ul> </li> <li>报告必须包括这些限制的原因以及任何后续行动，例如需要在下一次审核时对这些 限制进行审查</li> <li>确认控制企业、设施和/或产品或项目的实体已纳入认证范围</li> <li>技术专家和/或翻译的姓名和单位。</li> </ol>
利益相关者参与抽样方法	<p>包括</p> <ol style="list-style-type: none"> <li>联系和访谈的各方数量（按兴趣确定--工人、原住民、受影响的社区成员、相关当局等。）</li> <li>与受影响的人群和组织接触的抽样方法和策略：使用的接触方法，以及遇到的任何困难。 <ul style="list-style-type: none"> <li>参与目标：明确概述利益相关者参与审核的目标。</li> <li>参与方法：根据利益相关者的性质和参与目标而定。这些方法可包括调查、访谈、焦点小组、公开会议或在线平台。</li> </ul> </li> <li>不成功的尝试，如果多次尝试仍无法联系到某些利益相关者，或不想参与，则应记录不成功或不想参与的原因，以及对审核过程可能产生的任何影响。</li> </ol>

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<p><b>审核结果和客观证据</b></p>	<p>包括</p> <ol style="list-style-type: none"> <li>相关标准符合性（合格）及相关客观证据</li> <li>按相关标准划分的轻微不符合性（合格），附相关客观证据</li> <li>按相关标准划分的严重不符合性（合格），附相关客观证据</li> <li>不适用标准</li> <li>相关标准的影响区说明</li> <li>严重违规事件及相关客观证据</li> <li>显著成就（如相关）</li> <li>建议的业务改进（如相关）</li> <li>认可标准和计划的概要和范围（见表4），包括与ASI标准相关的这些计划和倡议的不符合性（合格）状况</li> <li>以往不符合性（合格）纠正措施的实施、关闭和有效性状况</li> <li>成员相关内部审核计划摘要</li> <li>成熟度等级。</li> </ol> <p>所有调查结果都必须包括支持客观证据的文件，但要概括，以免影响保密性、安全性或商业敏感信息。例如，这将包括</p> <ul style="list-style-type: none"> <li>受访人员的作用以及受影响的人群和组织</li> <li>受访者的性别分类</li> <li>查看和审查文件和记录，包括日期和唯一标识符</li> <li>观察到的活动和设施。</li> </ul> <p>在使用抽样的情况下，审核员必须解释其抽样策略和选择样本的理由</p> <p><b>记录</b>不符合性（合格）情况: 必须记录所有不符合性（合格），并包括不符合性的根本原因</p>
<p><b>审核员意见</b></p>	<p>包括</p> <ol style="list-style-type: none"> <li>关于审核过程或符合性声明的任何结论性意见</li> <li>审核员希望向ASI提交的任何其他信息。</li> </ol>
<p><b>下一次审核</b></p>	<p>包括: 下一次审核类型（监督审核或再认证审核）建议的时间</p>

 <b>Aluminium Stewardship Initiative (ASI) Performance Standard Certification Procedure</b>				
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### 5.6.3 Public Audit Reports/发布审核报告

The Audit Report (which may include confidential information) is only accessible to the Audit Team, the audited Member, and the ASI Secretariat. As part of ASI Certification, a Public Audit Report is published for every Certification issued. The Audit Report includes key Audit details (such as dates, scopes, supply chain activities etc.), the Conformance findings for each criterion, each supported by a Public Headline Statement that summarises the Auditor's findings and evidence reviewed./审核报告（可能包括机密信息）只有审核团队、接受审核的成员和ASI秘书处才能查阅。作为ASI认证的一部分，每次颁发的认证都会发布一份公开审核报告。审核报告包括主要审核细节（如日期、审核范围、供应链活动等）、每项标准的符合性（合格）声明，每项标准都有一份公共标题声明，概述审核员的审核结果和审查的证据。

### 5.6.4 Issuing ASI Certification and Publishing on the ASI Website/颁发 ASI 认证并在 ASI 网站上发布

On receipt of an Audit Report from an Auditor, the ASI Secretariat will undertake an Oversight Assessment before issuing ASI Certification. This process includes the following steps:在收到审核员的审核报告后，ASI秘书处将在颁发 ASI 认证证书之前进行监督审核。这一过程包括以下步骤：

- a) Confirm the competency of the Auditor(s) against the ASI Accredited Auditor register /对照 ASI 认可的审核员名册，认可审核员的能力
- b) Confirm that the Member's ASI membership is in good standing/确认成员的 ASI 成员资格良好
- c) Review the Audit Report and confirm that the Audit process and findings are consistent with the Assurance Manual/审核审核报告，确认审核过程和结果符合《保证手册》
- d) Document the Certification Scope and relevant details about the Member, the date Certification becomes effective and expires, when re-assessment is due, and the ASI Standard (including issue number and/or revision) used as the criteria for the Audit/记录认证范围和成员的相关详细信息、认证生效和失效日期、重新认证审核时间以及作为审核标准的ASI标准（包括发行号和/或修订版）
- e) Review of the findings contained in the Audit Report, with a focus on those criteria with a greater level of Materiality (as relevant) /审核审核报告中的结论，重点是那些实质性程度较高的标准（视情况而定）
- f) Review the adequacy and readability of the Public Headline Statements in the Audit Report/审核审核报告中公共标题声明的充分性和可读性
- g) Issue formal documentation and information to the Member, including: 向成员发布正式文件和信息。（唯一的认证编号和ASI 索赔指南）

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- ▶ A unique Certification number
- ▶ The ASI Claims Guide

h) Record the Member's Certification Status on the ASI website including the Member's public Audit Report./在 ASI 网站上记录成员的认证状态，包括成员的公开审核报告。

Each ASI Certification will have a unique Certification number to enable tracking of successive Certification Status, which are listed as 'Revisions'. Certification numbers will remain the same through a Re-Certification process. The history of all ASI Audits and Certification numbers for each Member will be maintained on the ASI website.每个 ASI 认证都有一个唯一的认证编号，以便跟踪连续的认证状态，这些状态被列为 "修订"。认证编号在重新认证过程中将保持不变。ASI 成员的所有审核历史和认证编号将保留在 ASI 网站上。

#### Notes:

- ▶ Reports must be submitted for Oversight, otherwise, a Certification cannot be issued, or updated to maintain its validity./必须提交报告以接受监督，否则无法签发或更新证书以保持其有效性。
- ▶ The ASI Secretariat makes Certification decision, not CB./ASI秘书处做出认证决定，而不是CB。
- ▶ More information please turn to ASI official website./更多信息请查阅铝业管理官网。  
<https://aluminium-stewardship.org/about-asi/members?cert=ps|coc>  
<https://aluminium-stewardship.org/>

## 5.7 Surveillance Audit/监督审核程序


Where a organization reaches the non-conformity threshold of 'Surveillance Audit' listed in Table 1-ASI Audit Types outlined in document ASI-Assurance-Manual Monitoring and Certification Requirements they shall undergo a surveillance audit./当组织达到表1-ASI审核类型中列出的“监督审核”的不合格阈值时，应进行监督审核。

### 5.7.1 Surveillance Audit Frequency/监督审核的评率

- ▶ Provisional Certification requires a site-based Surveillance Audit within six (6) months of the previous Audit./临时认证要求在上一次审核后六（6）个月内进行现场监督审核。
- ▶ Up to two Surveillance Audits (one every 12 months) following Certification / ReCertification Audits./认证/再认证审核后 最多可进行两次监督审核（每 12 个月一次）。For full three (3) year Certifications/获得完整的三（3）年认证

A. Members with a High Overall Maturity Rating are not required to have a Surveillance Audit/综合成熟度等级高的成员无需进行监督审核

B. Members with a Medium Overall Maturity Rating are required to have one Surveillance Audit to occur between 12-24 months after the previous Audit/总体成熟度等级为中等的成员须在上次审核后的 12-24 个月内接受一次监督审核

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C. Members with a Low Overall Maturity Rating are required to have two Surveillance Audits./综合成熟度等级低的成员需要接受两次监督审核。

D.

The surveillance activities are planned and carried out in the manner stated in the relevant Standard Documents./监督活动是按照有关标准文件所述的方式计划和执行的。

### 5.7.2 Surveillance Audits Time Requirements /监督审核的审核时间

For Surveillance Audits, the frequency and intensity are related to the Overall Maturity Rating for the defined Certification Scope and the applicable criteria. Guidance is provided in Table 19 below. In general, where the Certification Scope remains unchanged, the time required for Surveillance Audits should be approximately one-third to one-half the time spent on the Initial Certification Audit./对于监督审核，其频率和强度与已定义认证范围和适用标准的总体成熟度等级有关。一般来说，如果认证范围保持不变，监督审核所需的时间应约为初次认证审核时间的三分之一到二分之一。

### 5.7.3 Surveillance Audits Procedure 监督审核流程

In addition to the audit methods outlined; ASI and/or ASCP shall conduct regular monitoring of the organizations that are part of the P S programme. The methods of monitoring include, but are not limited to:/除了概述的审核方法外；铝业组织和/或 ASCP应定期对企业社会责任体系认证进行监督。监督方法包括但不限于：

- Document reviews;/文件评审
- On-site audits;/现场审核
- Tracebacks/追踪；
- Spot check visits;/抽查访问
- Response to complaints./投诉的回应。

Prior to performing an announced periodic surveillance audit, ASCP shall send to the certified organization an audit plan two weeks prior to the opening meeting of the audit./ 在执行监督审核前，ASCP应于首次会议召开两周前，向被认证组织发送审核计划。

Announced surveillance audits will be performed with the following activities: /通知的的监督审核将进行下列活动:

- Opening meeting/首次会议
- Review of any outstanding nonconformity with the relevant corrective action plan and corrective actions implemented/评审任何突出的不符合项，以及相关的纠正措施计划和已实施的纠正措施
- Documents and records review/文件和记录评审
- Interview of a sample of relevant employees (in confidence and without the presence of management representative(s)/ 与有关雇员进行面谈(在保密的情况并无管理层代表在场)



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- Sample size: Depending on the size of the organisation's operations, the auditor should review Selected sample size/样本量：根据组织的运营规模，抽取合适的样本量。
- Closing meeting with presentation of audit findings/召开审核结果的末次会议

ASCP surveillance audits are normally performed through document review and an onsite audit. However, in case of special circumstances and if allowed by ASI Secretariat, ASCP may perform remote surveillance audits./ ASCP 监督审核通常通过文件审查和现场审核进行。但是，在特殊情况下，如果铝业秘书处允许，ASCP 可以进行远程监督审核。

## 5.8 Re-Certification Audit/再认证程序

Renewal audits are announced audits that follow the same process flow as an initial certification audit./ 更新审核是按照与初始认证审核相同的流程进行的通知审核。

The ASI Secretariat will issue reminder notifications to Members for pending deadlines relating to the following scenarios/ASI 秘书处将向成员发出与下列情况有关的待定截止日期的提醒通知


- Certification to the ASI Performance Standard, which must be achieved within two (2) years of joining/必须在加入后两（2）年内获得 ASI 绩效标准认证
- Surveillance Audits during a Certification Period/认证周期内的监督审核
- Re-Certification pending expiry of the current Certification Period/当前认证周期到期前的重新认证。

Renewal audits shall be performed through document review and an onsite audit, unless any particular exception granted by the scheme owner./复审应通过文件审查和现场审核进行，除非标准制定方批准任何特殊的例外情况。

## 5.9 Certificate Changes and Variations/认证变化与变更

### 5.9.1 Change Types/更改类型

Changes to a Member's or Auditor's Business, whether permanent, temporary, or incremental, are common and may be relevant to the integrity of the Certification program. Changes that must be reported to the ASI Secretariat include any changes to a Member's ASI Certification Scope, or an ASI Accredited Auditors' Accreditation Scope/成员或审核员企业的变更，无论是永久性的、临时性的还是渐进性的，都很常见，而且可能与认证计划的完整性有关。必须向 ASI 秘书处报告的变更包括成员的 ASI 认证范围或 ASI 认可的审核员的认可范围的任何变更。

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## 5.9.2 Certification Scope Changes/认证范围变更

The Certification Scope may change if there are alterations to the Member's Business/如果成员企业发生变更， such as: 例如

- Organizational restructure/ 组织结构调整
- Divestments and acquisitions or changes to the equity share of Businesses/剥离和收购或企业股权份额的变化
- Changes to activities, products and processes /活动、产品和流程的变化
- Changes to the locations and distribution of the Member's Facilities/成员设施地点和分布的变化
- External influences such as changes in the statutory environment, regulations and/or other stakeholder expectations and commitments that affect the organization/外部影响因素，如法定环境、法规和/或其他利益相关者的期望和承诺发生变化，从而对组织产生影响

The ASI Secretariat must be notified of changes to the Member's Business that differ from the published Certification Scope, this can be done within elementAL. The Member must also re-assess their Business in light of the changed Certification Scope to prepare for the next scheduled Audit, which will either be a Surveillance Audit or a Re-Certification Audit.

如果成员的企业业务与公布的认证范围不同，必须通知ASI 秘书处，这可在 elementAl 内完成。成员还必须根据 变更后的认证范围重新评估其业务，为下一次预定审核做准备，审核将是监督审核或再认证审核。

**Adding Entities, Facilities or Products/Programs/添加实体、设施或产品/项目**

If a Member wants to expand its existing Certification Scope by adding Entities, Facilities or Products/Programs during the current Certification Period, an Audit will be required for each additional element. For example, if a new Facility is being added, it will be part of a Scope Change Audit. If there is more than one element being added, then each element (e.g. Facility or site) must be included in the Audit Scope. The dates of the original Certification Period will remain unchanged if these changes are addressed in a Surveillance Audit./如果成员希望在当前认证周期内通过增加实体、设施或产品/项目来扩大现有认证范围，则需要对每个新增要素进行审核。例如，如果增加了一个新设施，它将成为范围变更审核的一部分。如果增加的要素不止一个，则每个要素（如设施或场所）都必须纳入审核范围。如果在监督审核中处理这些变更，则原始认证周期的日期将保持不变。

Depending on the structure of its Business, the Member may choose to certify the additional Entities, Facilities or Products/Programs, with a separate Certification Scope, where a new Certificate and Certification Period would apply./根据企业的结构，成员可选择对额外的实体、设施或产品/项目进行认证，认证范围另定，并适用新的证书和认证周期。

## 5.10 Certification suspension or revocation /认证暂停或撤销

Per ASI Manual, If Critical Breaches occur, Certification will not be issued, or it will be revoked or suspended. Alternatively, the Scope of Certification may be narrowed to exclude any activities,



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Facilities or Product/Programs that are not in Conformance. Depending on the nature of the Critical Breach, and feasibility and commitments for Corrective Action, disciplinary proceedings (as set out in the ASI Constitution) against the relevant Member may commence/ASI 章程规定, 如果发生严重违规, 将不颁发认证, 或撤销或暂停认证。或者, 认证范围可能会缩小, 以排除任何不符合性 (合格) 的活动、设施或产品/项目。根据严重违规的性质, 以及纠正措施的可行性和承诺, 可能会对相关成员启动纪律处分程序。

## Provisional Certification transitioning to full Certification/临时认证向正式认证过渡

All Provisional Certifications are expected to transition to a full Certification as soon as practicable (for the remaining duration of the original three (3) year period) with only two consecutive Provisional Certification Periods permitted. If Major NonConformances are found in the third consecutive Audit (excluding Surveillance Audits), then Certification will be suspended until the Entity can address the Non-Conformances through Corrective Actions./所有临时认证都应在可行的情况下尽快过渡到正式认证 (原三 (3) 年期限的剩余时间), 只允许连续两个临时认证周期。如果在连续三次审核 (不包括监督审核) 中发现严重不符合性 (合格), 则将暂停认证, 直至实体能够通过纠正措施解决不符合性问题。

The one (1) year Provisional Certification Status is capped at two (2) consecutive years (i.e., Major Non-Conformances identified in two consecutive Audits). If there is a Major Non-Conformance found in the third Audit, Certification will be suspended. 一 (1) 年的临时认证状态以连续两(2) 年为上限 (即在连续两次审核中发现严重不符合性 (合格))。如果在第三次审核中发现严重不符合性 (合格), 认证资格将被暂停。

## 5.11 Transfer of Certification Audits by Member/认证审核转移

Members can select and change an audit firm from the list of ASI Accredited Auditing Firms to conduct their ASI Audits. However:/成员可从 ASI 认可的审核公司名单中选择和更换一家审核公司进行 ASI 审核。但是

- An Entity with Provisional Certification Status must use the same Accredited Auditing Firm until all Major Non-Conformances have been closed, wherever possible;/具有临时认证状态的实体必须尽可能使用同一家认可审核公司, 直到所有严重不符合项都已关闭为止。
- Members must provide Auditors with copies of previous Audit Reports when changing to a new Accredited Auditing Firm./成员在更换新的认可审核公司时, 必须向审核员提供以前的审核报告副本。

The organization shall inform their existing Certification Body (CB) at least 3 months prior to their certificate expiry should they choose to change CB for their next audit./组织如果选择在证书到期前更换认证机构 (CB) 进行下一次审核, 应至少提前 3 个月通知现有的认证机构。

If a organization contacts ASCP with a request to transfer their ASI audit, ASCP shall request and review the latest audit report(s) and any other relevant supporting documents (e.g. Closed

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Critical Corrective Action Plan, etc)./如果组织联系 ASCP请求转移其认证审核，ASCP将要求并审查最近的审核报告和任何其他相关的支持文件（例如，严重不符合项都已关闭等）。

The organization shall be responsible for ensuring that the previous CB is informed, and the contract is cancelled as soon as the contract with ASCP is signed./在与ASCP签订合同后，组织有责任确保先前的CB已被告知，并且合同已终止。

## 6. Complaints and Appeals/投诉和申诉

### 6.1 General/总则

ASCP operates and delivers certification services to the highest professional standards. However, in specific circumstances, you may wish to raise a formal complaint against some of the services delivered by ASCP or appeal a specific certification decision./ ASCP 以最高的专业标准运作和提供认证服务。然而，在特殊情况下，您可能希望对 ASCP提供的某些服务提出正式投诉，或对特定的认证决定提出申诉。

In order to offer fair and impartial certification decision services, ASCP is implementing formal complaint and appeal procedures that are described in the sections below./为了提供公平和公正的 认证决定服务，ASCP 正在实施正式的投诉和申诉程序，这些程序在下面章节中描述。

### 6.2 Management of Complaint received/管理收到的投诉

#### 6.2.1 Complaint against ASCP/投诉

An organization or any interested party may send a complaint to ASCP. A complaint raised to ASCP shall comply with the following minimum requirements to be considered by ASCP as a formal

complaint: /组织或任何相关方可向ASCP投诉。向ASCP提出的投诉须符合以下最低要求，ASCP方可视为正式投诉：

- Be in writing. ASCP will not consider informal complaints that are not provided in written format, /用书面形式。ASCP不会考虑没有以书面形式提供的非正式投诉；
- Shall not be anonymous,/不能匿名；
- Be fully justified with appropriate description of the issue raised and how this is related to the ASCP audit, certification process or any other relevant ASCP activity./对所提出的问题行充分合理的描述，并说明其与 ASCP审核、认证过程或其他相关 ASCP活动的关系。

ASCP will record all formal and justified complaints received, will review the complaint within 15 working days after reception, and is committed to responding to the complainant(s) within 30 calendar days. If additional time is required to review, address and/or respond to the complaint, ASCP will formally informed the complainant and will propose a new timeline to respond. /ASCP将记录所有收到的正式且合理的投诉，并将在收到投诉后 15 个工作日内对投诉进行审核，并承诺

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在 30 个自然日内对投诉人做出回应。如果需要额外的时间来审查、处理和/或回应投诉，ASCP 将正式通知投诉人，并提出新的回复时间。

ASCP will ensure that complaints are not reviewed and addressed by any ASCP personnel whom may have a conflict of interest./ ASCP 将确保投诉不被任何可能有利益冲突的 ASCP 人员审查和处理。

ASCP will record each complaint that has been accepted together with the action taken to resolve the issue and the response that was sent to the complainant./ ASCP 将记录已受理的每一个投诉，以及为解决该问题所采取的行动和发送给投诉人的答复。

Any changes in certification status resulting from an appeal shall be communicated to ASI Secretariat and the appellant in writing within 5 working days of the decision being made./任何因上诉而产生的认证状态变更，应在做出决定后的 5 个工作日内以书面形式通知 ASI 秘书处和申诉人。

If the complainant is not satisfied with ASCP response, complainant should contact ASI Secretariat so that appropriate follow-up can take place at the level of ASI Secretariat. /如投诉人对 ASCP 的回应不满意。投诉人可以联系铝业秘书处，以便秘书处进行适当的跟进。


## 6.2.2 Appeal/申诉

ASCP will only receive formal appeals from ASCP applicant or certified organizations. Appeals have to be specifically related to: /ASCP 只接受来自 ASCP 申请人或认证组织的正式申诉。申诉必须具体涉及：

- ASCP certificate Audit report / ASCP 认证审核报告；
- ASCP Non-Conformance Rating/ ASCP 成熟度等级评定
- Evaluation Results raised by ASCP/ ASCP 审核组在审核过程中的评估结果

The auditee or the certified organization will appeal to ASCP within 30 days after receiving the decision or notice of action. Appeal must: /被审核方或被认证组织将在收到决定或行动通知后 30 天内向 ASCP 提出申诉。申诉必须：

- Be in writing,/通过书面；
- Be signed or sealed by the complainant/由投诉人签名或盖章；
- Be fully justified, presenting all relevant evidence related to the case,/ 有充分理由，提出与本案有关的所有证据；
- Be with clear reference to relevant normative reference./明确参考相关的规范。
- If the appeal is accepted, the Textile Certification Department fills in the “Appeal/Complaint and Dispute Acceptance Record” and reports to ASCP's top management and management representatives within 2 working days. The investigation team shall be composed of personnel who have not audited and certified the party involved in the appeal, and the management representative appoints the head of the investigation team to conduct an investigation./如申诉获接纳，纺织认证部在收到申诉材料后，在 2 个工作日内填写《申诉/投诉及争议受理记录》，并向公司最高管理者和管理者代表报告。调查组由未对申诉当事人进行审核和证明的人员组成，由管理者代表任命调查组组长进行调查。

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- The investigation team organizes investigation, confirmation, analysis and evidence collection of the appeal: /调查组组织申诉的调查、确认、分析和证据收集:

○ Both the complainant and the respondent should be required to provide sufficient factual evidence and written materials. /要求申诉方与被申诉方均应提供充分的事 实证据和书面材料

○ The working group shall arrange for the representatives of the party to appeal and the party to response to present their reasons fully./工作组应安排申诉方与被申诉方代表充分陈述理由。

○ Investigate, confirm, analyze and collect evidence of the reasons and facts of the appeal to determine the validity of the application./对申诉理由和事实进行调查、确 认、分析和取证，以确 定申请的有效性。

○ Propose the relevant measures to respond to the appeal, that is, to process opinions or conclusions./ 提出回应申诉的相关措施，即处理意见或结论。

- The investigation team forms a written report after investigation, confirmation, analysis and evidence collection results, as well as processing opinions or conclusions./调查组经过调 查、确认、分析和取证结果以及处理意见或结论，形成书面报告。


- The leader of the investigation team convened a meeting to review the results of the treatment and, if necessary, refer to the results of previous similar complaints./调查组组长 召集会议，审定处理结果，必要时可以参考以前类似申诉的结果。

- The reasons for the appeal are established and are the responsibility of the company. The representative of the company manager is responsible for organizing the relevant departments to analyze the reasons for non-conformity according to the relevant provisions of the Procedures for Corrective/Preventive Measures, taking corrective measures, forming documents and verifying their validity. When the auditee or the certified customer is required to review, the Textile Certification Department shall conduct the review in accordance with the requirements in the certification procedure. /申诉理由成立，属公司责 任，公司管理者代表负责按照《纠正/预防措施程序》中有关规定，组织相关部门分析 不符合产生的原因，采取纠正措施，形成文件并验证其有效性；如果认为对受审核方 或获证组织应予复审时，由纺织认证部按照认证程序中的要求实施复审。

- The problem in the appeal is not the responsibility of the company, but it is related to the company's certification audit work, and should be taken in the same way, and appropriate improvement measures should be taken. /申诉中的问题不属于公司的责任，但与公司认证 审核工作有关，应举一反三，采取适当的改进措施。

- The reasons for the appeal are established, and the costs of the appeal investigation and the cost of the review are borne by the company. The reason for the appeal is not established and the claimant shall bear the expenses. /申诉理由成立，申诉调查处理费用及复审费用 由公司承担。申诉理由不成立，由申诉方负担费用。

- The confirmation of the appeal and the progress of the investigation and the final processing result shall be sent to the appealing party in writing by the Textile Certification Department.

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The final processing result will be accepted from the formal acceptance, no later than 30 calender days./申诉的确认和调查处理进展情况和最终处理结果，由纺织认证部以书面 形式送交申诉方。最终处理结果自正式受理申诉，最迟不超过 30 个自然日。

Please note that an appeal, even if accepted by ASCP, is not suspensive of the decision subject to the appeal./请注意，申诉即使被 ASCP接受，也不意味着申诉后的决定被中止。

## 7. Certification Audit Records Management 认证审核记录的管理

A separate “Cert Audit file” with unique ‘ASI\_Facility Name# ’shall be kept in Onedrive for each Certification Audit performed. Each Certification Audit file must contain all documents and evidence from the Certification Audit through the entire Certification Audit process, including through any quality review activities that may take place, to justify the services performed and quality assessment processes.

Attention: All the Certification Audit files shall be uploaded to Onedrive timely. Report reviewers shall double check the files existed or not during the report reviewing, and request the auditor to upload if necessary.

对于每次执行的认证审计，应在oneddrive中保存一个单独的“证书审计文件”，该文件具有唯一的“ASI\_Facility Name#”。每个认证审核文件必须包含认证审核贯穿整个认证审核过程的所有文件和证据，包括可能发生的任何质量审核活动，以证明所执行的服务和质量评估过程的合理性。

注意：所有认证审核文件应及时上传至oneddrive。报告审核员在审核报告时应对文件是否存在进行复核，必要时可要求审核员上传。

## 8. Competence requirements of certificate personnel/认证人员能力要求

Requirements are listed on ASI-Auditor-Accreditation-Procedure-V4.



ASI-Auditor-Acc  
reditation-Proce



## General 一般要求

### Minimum最低要求

- Experience of conducting relevant third-party audits, including interviewing management, workers and reviewing management system documents.  
具备开展相关第三方审核的经验，包括访谈管理层、工人以及审核管理体系文件
- Trained in auditing principles, procedures, techniques, and behaviours as described in social compliance audits. 接受过社会责任审核中所述的审核原则、程序、技术和行为方面的培训
- Ability to prepare well-documented third-party verification reports with clear analysis and specific evidence to support conformity / non-conformity findings.  
能够编写记录详实的第三方验证报告，包含清晰的分析和具体证据，以支持符合/不符合项的发现。
- Ability to manage a variety of stakeholder interests whilst producing independent and unbiased outputs.  
能够在产生独立且无偏见的输出时，管理各种利益相关者的利益。
- Strong attention to detail. 高度注重细节。
- Ability to perform basic and operational data analysis.  
具备进行基本和运营数据分析的能力。
- Good time management skills. 良好的时间管理技能。

### Desirable理想要求

- The ability to read and speak in the language(s) used by audit stakeholders. 能够阅读和说审核利益相关者使用的语言。
- Relevant university degree. 相关大学学位。
- Relevant experience in countries applied for in ASI Accreditation Scope. 在ASI认证范围内申请国家的相关经验。
- Lead auditor training provided by an accredited agency/provider. 由认可机构/供应商提供的主审核员培训。
- Fluent in English (written, spoken, comprehension), as ASI's official language is English. 流利的英语（书面，口语，理解），因为ASI的官方语言是英语。
- For social auditors, it is recommended that they hold APSCA registration. 对于社会审核员，建议他们持有APSCA注册。

➤ For Performance Standard: Applicable Law and regulations for relevant jurisdictions in governance, social and environmental topics of the ASI Performance Standard, 在ASI社会责任审核标准的治理、社会和环境主题方面，相关司法管辖区的适用法律和法规，

including:

- ✓ Anti-corruption/反腐败
- ✓ Environmental protection including emissions and hazardous waste management 环境保护，包括排放和危险废物管理
- ✓ Social management including human rights and labour rights/社会管理包括人权和劳工权利
- ✓ Conflict Affected and High Risk Areas/受冲突影响和高风险地区

## Understanding of ASI Performance Standard Certification Audit Requirements

对ASI社会责任审核认证的理解

*Although an understanding of the ASI PS system is required at the point of application, training ASI is mandatory for all auditors.* 虽然在申请时需要了解铝业社会责任审核体系，但所有审核员都必须接受ASI审核认证方面的强制培训。

**1. There are 18 Mandatory courses on educational/18门必修课程:**

- Introduction to ASI
- Introduction to the ASI Performance Standard
- Chain of Custody - Introduction
- Chain of Custody - Deep Dive
- Assurance Framework
- Audit Scope
- Objective Evidence
- Conformance Evaluation
- Maturity ratings
- Report Writing
- Adopting a gender-sensitive approach to auditing
- Human Rights Due Diligence
- Human Rights Impact Assessment
- Auditing risk-based due diligence in the aluminium supply chain, in accordance with the OECD Guidance
- Modern Slavery Risks
- Greenhouse Gases (GHG) Emissions
- Auditing Human Rights Due Diligence

**2. Exam**

Schedule the exam time directly with ProctorU through personal account./通过考试的帐户直接与ProctorU安排考试时间。A mark of 70% is required to pass the exam. 考试必须达到70%才能及格。

**3. Results**

Once you have passed the ASI exam and your application has been approved by ASI, you may conduct ASI audits./一旦通过了ASI考试，并且审核申请被ASI批准，才可以进行ASI审核