

ASI Chain of Custody (CoC) Standard

Version 1

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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

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

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 Chain of Custody 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 is centred on providing assurance against two voluntary standards: the ASI Performance Standard and the ASI Chain of Custody Standard.

The ASI Performance Standard defines environmental, social and governance principles and criteria, with the aim to 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 the launch of the ASI Certification program, or 2 years of joining ASI, whichever is later. For more information, please visit aluminium-stewardship.org

The **ASI Chain of Custody (CoC) Standard** (this Standard) complements the ASI Performance Standard, and is **voluntary** for ASI Members, though encouraged. The CoC Standard sets out requirements for the creation of a Chain of Custody for CoC Material, including ASI Aluminium, which is produced and processed through the value chain into diverse downstream sectors.

The Standard specifies two starting points for ASI Aluminium: Primary (mined) and Recycled (secondary), connecting these into the aluminium supply chain through a Mass Balance System, which requires an unbroken chain of CoC Certified Entities to supply it. It also provides for the option for Casthouses to allocate their excess ASI Aluminium to virtual ASI Credits, where long or complex supply chains prevent direct supply of physical ASI Aluminium through a series of CoC Certified Entities to downstream companies.

B. Purpose

Over time, ASI's overall objective is to increase the supply of, and demand for, ASI Aluminium through the global value chain so as to provide independent assurance of responsible production, sourcing and stewardship of aluminium.

The CoC Standard aims to support responsible supply chains by:

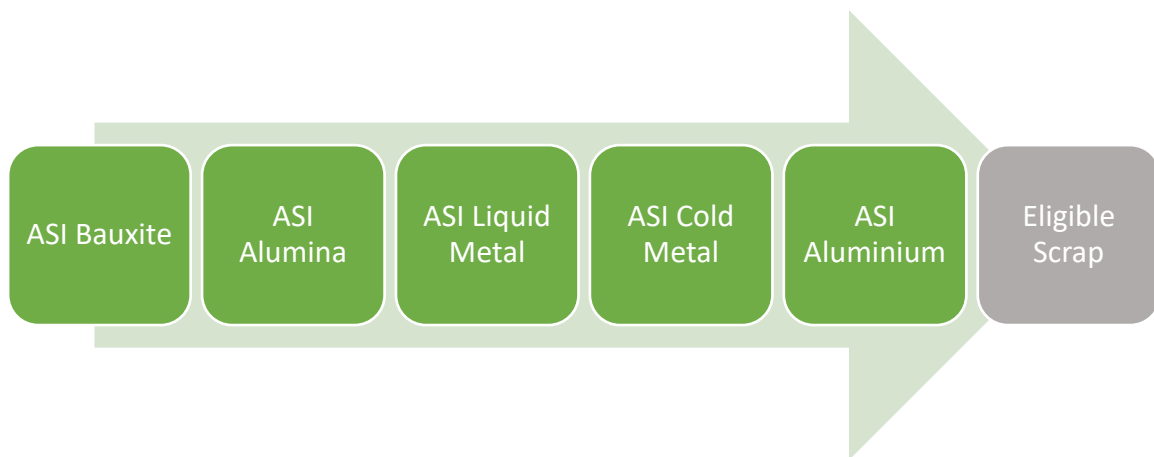
- Providing a common standard for ASI Members in the Production and Transformation and Industrial Users membership classes, who wish to implement Mass Balance and/or Market Credits chain of custody systems in the aluminium value chain;
- Establishing requirements that can be independently audited to provide objective evidence for the granting of ASI CoC Certification; and
- Serving as a broader reference for the establishment and improvement of responsible production, sourcing and stewardship initiatives in metals supply chains.

The implementation of ASI's CoC Standard enables a link between verified practices at successive steps of the supply chain under the ASI Performance Standard, to the products produced by ASI Certified Entities.

C. Scope

The ASI CoC Standard defines requirements for Entities and Facilities implementing chain of custody management systems, including systems for sourcing, accounting and transfer of CoC Material and Eligible Scrap.

CoC Material is a collective term for ASI Bauxite, ASI Alumina, ASI Liquid Metal, ASI Cold Metal and ASI Aluminium produced by, and shipped/transferred to, ASI Certified Entities in accordance with the CoC Standard.



At various points in the CoC Standard, the term 'CoC Material' may be used to mean any of these, or one of the specific terms above may be used instead. ASI Liquid Metal and ASI Cold Metal are specific forms of ASI Aluminium. Eligible Scrap is another kind of input, but is generally not CoC Material until it is designated ASI Aluminium following re-melting and/or refining, so is referred to separately.

Other metals contained in alloys, platings, coatings, laminates or product components, and other materials such as plastics, glass, paints and agricultural products, that may be found in combination with CoC Material or Eligible at one or more stages of the value chain, are outside the scope of the ASI CoC Standard and are treated as neutral materials.

D. Status and Effective Date

This is Version 1.0 of the ASI Chain-of-Custody Standard which was approved by the ASI Standards Committee and adopted as an ASI Standard by the ASI Board on 12 December 2017. Version 1.0 is effective from the date of publication.

E. Standards Development

Development of this Standard has been underpinned by formal and transparent multi-stakeholder processes, overseen initially by the ASI Standards Setting Group (SSG) under the co-ordination of IUCN, and then by the ASI Standards Committee, and supported by 4 public comment periods between 2014 and 2017 and a pilot test in 2017. ASI is sincerely grateful for the time, expertise and valuable input of the many individuals and organisations who contributed to this Standard.

ASI aims to conduct standards development in conformance with the ISEAL Code of Good Practice for Setting Social and Environmental Standards (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 all share a commitment to the responsible production, sourcing and stewardship of aluminium, but have varied interests, considerations and priorities about the chain of custody of the aluminium they buy and sell. The ASI Chain-of-Custody (CoC) Standard is therefore voluntary for ASI Members, though it is recommended as a way to add value to Certification against the ASI Performance Standard. (ASI Members in the 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 the launch of the ASI certification program, or two years of joining ASI, whichever is later.)

However CoC Certification is mandatory for businesses that make any claims relating to production or sourcing of CoC Material, ASI Aluminium or ASI Credits, as defined under the ASI CoC Standard. Without CoC Certification, such claims cannot be made.

The ASI Chain of Custody Standard applies to Entities engaged in different supply chain activities as follows:

Supply chain activity	Applicability of Chain of Custody Standard Criteria											
	1	2	3	4	5	6	7	8	9	10	11	12
Bauxite Mining												
Alumina Refining												
Aluminium Smelting												
Aluminium Re-melting/Refining												
Casthouses												
Post-Casthouse												

Code:

Applicable	Applicable if relevant	Not Applicable
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Criteria shaded green are generally applicable to those supply chain activities, where they are within the Certification Scope of the Entity.

Criteria shaded orange may be applicable to those supply chain activities – further information can be found in the criteria wording and the CoC Standard Guidance.

Use of the Standard is open to all interested users, however CoC 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.

ASI encourages the recognition of ASI Chain of Custody Certification by relevant sector-specific schemes.

G. Certification

The ASI CoC Standard is designed for use by ASI Accredited Auditors to verify an Entity's conformance for the purposes of granting ASI CoC Certification. Note that Certification against the ASI Performance Standard is also a parallel requirement, and this is specified in the relevant criteria of the CoC Standard.

The Entity's CoC Certification Scope is defined by the Entity seeking Certification and includes all Facilities (and where applicable, Outsourcing Contractors) that the Entity intends to use for the processing, accounting, shipping and/or receiving of CoC Material. For purchasers of ASI Credits, the CoC Certification Scope must include those parts of the business responsible for receiving and accounting for ASI Credits and for making any associated claims or representations.

The steps for ASI CoC 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. This may be separate to, or alongside, an audit for the ASI Performance Standard.
- During the Certification Audit, the Auditor verifies the Entity has systems in place that conform to the CoC Standard to source and/or supply CoC Material. Minor non-conformances will be noted and the Entity will be directed to address them.
- Once the Entity achieves CoC Certification, it is authorised to begin issuing CoC Documents for CoC Material.
- Within 12-18 months, the Auditor conducts a Surveillance Audit of the CoC Certified Entity to verify that systems, including the issuing and receiving of CoC Documents etc, are working effectively. Any minor non-conformances found during the Certification Audit must be addressed prior to the Surveillance Audit.
- After the Certification Period of 3 years, a Certification Audit would be required to renew CoC Certification, followed by a Surveillance Audit within 12-18 months.

H. Supporting Documents

The following documents provide supporting information to assist with implementing the CoC Standard:

- ASI CoC Standards Guidance
- ASI Claims Guide
- ASI Assurance Manual

The ASI Performance Standard contains requirements that are also applicable to Entities applying the CoC Standard. The Performance Standard covers governance, environmental and social issues in the aluminium value chain, and should be read in conjunction with the CoC Standard.

I. Review

ASI undertakes to formally review this Standard by 2022, five years after first publication, or earlier as required. In particular, ASI commits to review the implementation and effectiveness of the ASI Market Credits System at the next review, given its intended role as a transitional mechanism. 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 are critical for standards programs to be able to understand and demonstrate. ASI's M&E program will seek to measure short and medium-term change in order to understand how this can contribute to long-term impacts, and also identify how ASI's Certification program can be improved.

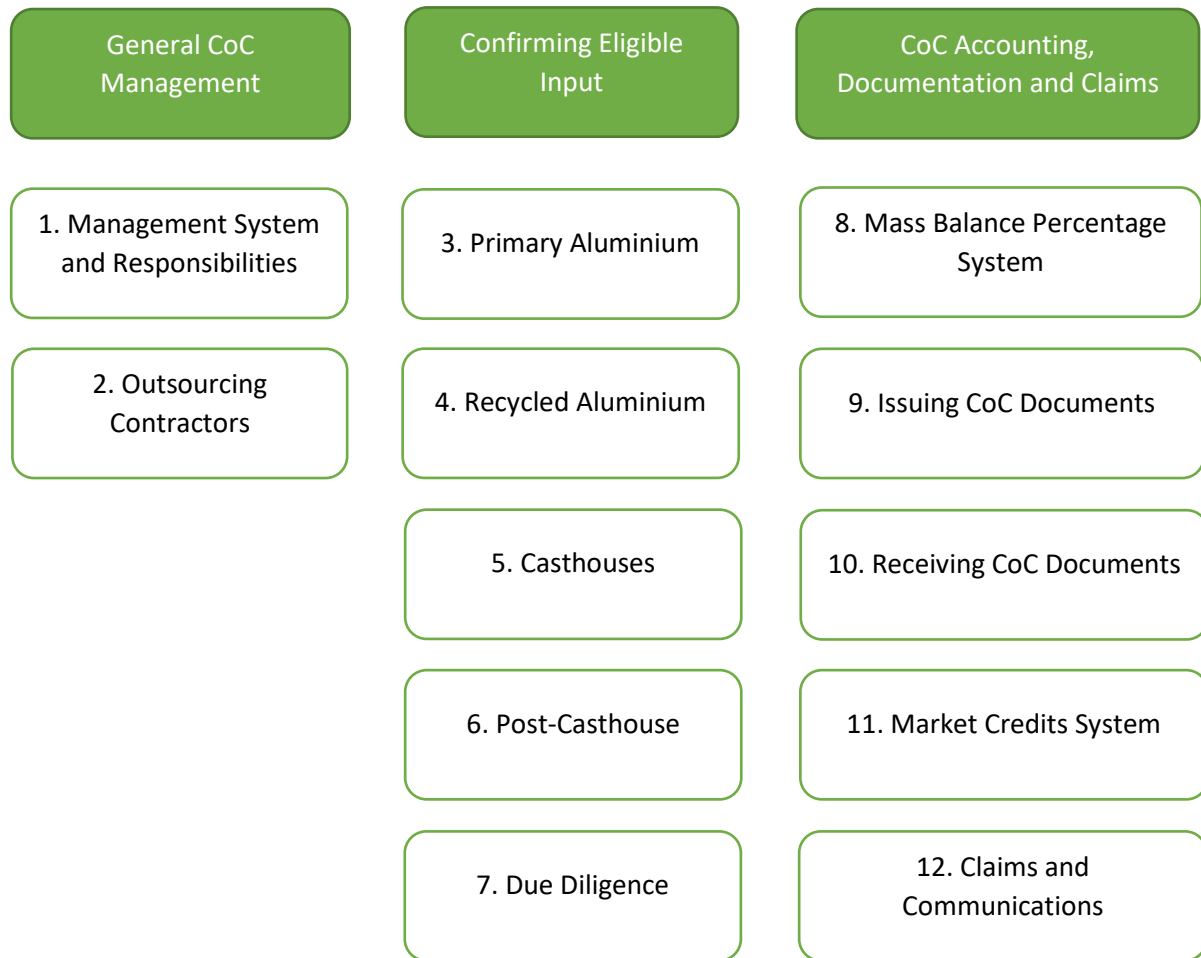
In developing and implementing this program, ASI intends to comply with the ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards (2014). ASI is bound by its Anti-Trust Compliance Policy and Confidentiality Policy in dealing with commercially sensitive information. These policies are available on the ASI website at <https://aluminium-stewardship.org/about-asi/legal-finance-policies/>

K. How to Read the Standard

Please note the following:

- The ASI CoC Standard contains 12 **sections** organised into 3 **parts**.
- *Italicised text provides **background and intent** for each section but is not normative.*
- Auditable **criteria** are numbered in each section (for example '1.1').
- All capitalised common terms and acronyms (for example 'Entity') are defined in the **Glossary** at the end of this document.

The 3 parts and 12 sections are grouped as follows:



ASI Chain of Custody (CoC) Standard

A. General CoC Management (Sections 1-2)

1. Management System and Responsibilities

Section 1 outlines the general elements of management systems an Entity needs to effectively implement the ASI CoC Standard. An Entity may consist of a single Facility or multiple Facilities, but must be under the Control of an ASI Member to link to the ASI's membership obligations and the ASI Complaints Mechanism. The criteria in this section can usually be integrated into existing management systems relevant to managing sales, sourcing and inventory.

- 1.1 The Entity seeking CoC Certification shall be an ASI Member in good standing in the Production and Transformation or Industrial Users membership classes, or under the Control of such an ASI Member, thereby committing to comply with ASI's membership obligations and the ASI Complaints Mechanism.
- 1.2 The Entity shall have a Management System that addresses all applicable requirements of the CoC Standard, in all Facilities under the Control of the Entity that have Custody of CoC Material.
- 1.3 The Entity shall ensure that the Management System for criteria 1.2 are periodically reviewed and updated in light of implementation experience and to address potential areas of non-conformance.
- 1.4 The Entity shall nominate at least one Management Representative as having overall responsibility and authority for the Entity's conformance with all applicable requirements of the CoC Standard.
- 1.5 The Entity shall establish and implement communications and training measures that make relevant personnel aware of and competent in their responsibilities under the CoC Standard.
- 1.6 The Entity shall maintain up to date records covering all applicable requirements of the CoC Standard and shall retain them for a minimum of five (5) years.
- 1.7 The Entity shall report the following information to the ASI Secretariat within 3 months after the end of each calendar year, as applicable:
 - a. All Entities: Input and Output Quantities of CoC Material/s over the calendar year.
 - b. All Entities: Input Percentage/s calculated for the calendar year.
 - c. All Entities: the maximum Positive Balance in the calendar year carried over to the subsequent Material Accounting Period, if any.
 - d. All Entities: the maximum Internal Overdraw within the calendar year, if any, and the percentage of Input Quantity of CoC Material this represents.
 - e. Entities engaged in Aluminium Re-melting/Refining to produce Recycled Aluminium: total Input Quantity of Eligible Scrap, with a breakdown by Post-Consumer Scrap and Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity, in the calendar year.

- f. Entities engaged in producing Casthouse Products: quantity of ASI Aluminium allocated to ASI Credits in the calendar year.
- g. Post-Casthouse Entities using ASI Credits: quantity of ASI Credits purchased in the calendar year.

2. Outsourcing Contractors

Outsourcing Contractors are encouraged to become CoC Certified in their own right. However it is recognised there are often challenges in uptake of CoC Certification in long or flexible supply chains, or by smaller businesses. Section 2 provides Entities seeking CoC Certification with the ability to outsource processing, treatment or manufacturing of CoC Material that they own or control to non-CoC Certified Outsourcing Contractors, by including them in their own CoC Certification Scope.

- 2.1 Any Outsourcing Contractor without CoC Certification that takes Custody of an Entity's CoC Material for the purposes of further processing, treatment or manufacturing, shall be identified in the Entity's CoC Certification Scope.
- 2.2 Entities which wish to include Outsourcing Contractors within their CoC Certification Scope shall ensure the following:
 - a. The Entity has legal ownership or control of all CoC Material used by these Outsourcing Contractors.
 - b. Any Outsourcing Contractor included in an Entity's Certification Scope shall not outsource any processing, treatment or manufacturing of CoC Material to any other contractor.
 - c. The Entity has assessed the risk of potential non-conformance with the CoC Standard resulting from the engagement of each Outsourcing Contractor, and determined, based on the risk assessment, that the risk is acceptable.
- 2.3 The Entity shall ensure that the Outsourcing Contractor provides information on Output Quantity of CoC Material to the Entity at the conclusion of the Entity's Material Accounting Period (or more frequently as required by the Entity).
- 2.4 The Entity shall have systems in place to verify that the Output Quantity of CoC Material is consistent with the Input Quantity of CoC Material provided to the Outsourcing Contractor, and record it in its Material Accounting System.
- 2.5 If an error is discovered after CoC Material has been shipped, the Entity and the Outsourcing Contractor shall document the error and the agreed steps taken to correct it, and implement actions to avoid a recurrence.

B. Confirming Eligible Inputs (Sections 3-7)

3. Primary Aluminium: Criteria for ASI Bauxite, ASI Alumina and ASI Liquid Metal

A Chain of Custody must have a starting point, and in the case of aluminium this is either primary (mined) or recycled (secondary) materials. Section 3 is focused on Primary Aluminium, and requires that ASI Bauxite comes from bauxite mines, and is further processed through alumina refiners and aluminium smelters, that are also certified against the ASI Performance Standard (or equivalent).

- 3.1 An Entity engaged in Bauxite Mining shall have systems in place to ensure that ASI Bauxite is produced only from bauxite mines that are:
 - a. Within the Entity's CoC Certification Scope and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity;
 - b. Certified against the ASI Performance Standard, or certified against a Responsible Mining Standard that has been formally recognised by ASI as comparable to the ASI Performance Standard.
- 3.2 An Entity engaged in Alumina Refining shall have systems in place to ensure that ASI Alumina is produced only from alumina refiners that are:
 - a. Within the Entity's CoC Certification Scope, and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity;
 - b. Certified against the ASI Performance Standard.
- 3.3 An Entity engaged in Aluminium Smelting shall have systems in place to ensure that ASI Liquid Metal is produced only from aluminium smelters that are:
 - a. Within the Entity's CoC Certification Scope, and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity;
 - b. Certified against the ASI Performance Standard.

4. Recycled Aluminium: Criteria for Eligible Scrap and ASI Liquid Metal

Recycled Aluminium is the second potential starting point for Chain of Custody for ASI Aluminium. The CoC Standard anticipates that the first Entity in the Chain of Custody of recycled CoC Material will be an aluminium re-melter and/or refiner (aluminium refining includes recovery and refining of aluminium from Dross and Dross residues such as slag). Section 4 requires that 'know your customer' principles apply to suppliers of Recyclable Scrap Material (and the due diligence requirements of section 7 also apply). This section sets the ASI CoC Standard's requirements for Entities producing recycled scrap material and recycled aluminium.

- 4.1 An Entity engaged in Aluminium Re-melting/Refining to produce Recycled Aluminium shall have systems in place to ensure that ASI Liquid Metal is produced only from Facilities that are:
 - a. Within the Entity's CoC Certification Scope, and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity;
 - b. Certified against the ASI Performance Standard.

- 4.2 An Entity engaged in Aluminium Re-melting/Refining shall account for Eligible Scrap in their Material Accounting System as only:
 - a. Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity or Aluminium recovered from Dross and treated Dross residues that is subject to supplier due diligence as per section 7; and/or
 - b. Post-Consumer Scrap that is subject to supplier due diligence as per section 7 and is assessed by the Entity to be post-consumer in origin.
- 4.3 An Entity engaged in Aluminium Re-Melting/Refining to produce Recycled Aluminium shall have systems in place to record:
 - a. The identity, principals and place/s of operation of all direct suppliers of Recyclable Scrap Material.
 - b. All financial transactions with direct suppliers of Recyclable Scrap Material, ensuring that cash payments are within the lower of the relevant defined financial threshold under Applicable Law or US\$10,000 (or equivalent), where the transaction is carried out in a single operation or in several operations that appear to be linked.

5. Casthouses: Criteria for ASI Aluminium

For both Primary and Recycled Aluminium, a Casthouse is a common 'choke point' between upstream and downstream supply chains. They are also the point at which aluminium is formed into usable (or reusable) metal for subsequent material conversion and/or manufacturing. Section 5 deals with the certification requirements for Casthouses and both the Liquid Metal and Cold Metal inputs and outputs that are part of the casting process. It also specifies that Casthouses need to ensure their systems can provide traceability for stamped or printed ASI Aluminium products and ASI Credits.

- 5.1 An Entity engaged in producing Casthouse Products from Primary Aluminium and/or Recycled Aluminium shall have systems in place to ensure that ASI Aluminium is produced only from Casthouses that are:
 - a. Within the Entity's CoC Certification Scope, and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity;
 - b. Certified against the ASI Performance Standard.
- 5.2 For traceability purposes, the Material Accounting System of an Entity engaged in producing Casthouse Products shall have systems in place to ensure that unique identification numbers, either physically stamped and/or printed on or with ASI Aluminium, can be linked to the Input Quantity of CoC Material for that Material Accounting Period.

6. Post-Casthouse: Criteria for ASI Aluminium

Casthouse Products are destined for a wide range of semi-fabrication pathways and subsequent material conversion, downstream manufacturing and use. Supply chains from the Casthouse onwards ('Post-Casthouse') are often highly diverse and/or fragmented. Section 6 applies to Post-Casthouse Entities that source physical ASI Aluminium direct from Casthouses or via another downstream entity, and use the CoC Standard to make claims about their own production of ASI Aluminium.

- 6.1 A Post-Casthouse Entity that sources ASI Aluminium shall have systems in place to ensure that it is itself producing ASI Aluminium only from an Entity and/or Facility/ies:
- Within the Entity's CoC Certification Scope, and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity;
 - Will be certified against the ASI Performance Standard within 2 years of the launch of the ASI Certification system or 2 years of joining ASI, whichever is later.
 - Sourcing ASI Aluminium directly from another ASI CoC Certified Entity, or via a metals trader or warehouse where the ASI CoC Certified Entity can supply or verify the associated CoC Document containing Supplementary Information sufficient to identify the corresponding shipment.

7. Due Diligence for Non-CoC Inputs and Recyclable Scrap Material

Section 7 requires Entities to conduct due diligence of suppliers of Non-CoC Material and Recyclable Scrap Material for potential environmental, social or governance risks and take reasonable action to prevent or mitigate risks. This aligns with ASI's mission to promote responsible sourcing. It does not preclude Entities sourcing from non-ASI suppliers.

- 7.1 The Entity shall adopt and communicate to suppliers of Non-CoC Material and Recyclable Scrap Material a responsible sourcing policy covering Aluminium, which as a minimum takes account of the following criteria in the ASI Performance Standard:
- 1.2 (Anti-corruption)
 - 2.4 (Responsible Sourcing)
 - 9.1 (Human Rights Due Diligence)
 - 9.9 (Conflict Affected and High Risk Areas)
- 7.2 The Entity shall assess the risks of non-compliance with its responsible sourcing policy by its suppliers of Non-CoC Material and Recyclable Scrap Material, document the findings, and undertake measurable risk mitigation where risks of adverse impacts are identified.
- 7.3 The Entity shall establish a complaints mechanism as per criteria 3.2 in the ASI Performance Standard, that is appropriate to the nature, scale and impact of the business and that allows interested parties to voice concerns about non-compliance with its responsible sourcing policy in its Aluminium supply chain.

C. CoC Accounting, Documentation and Claims (Sections 8-12)

8. Mass Balance System: CoC Material and ASI Aluminium

The Mass Balance System requires each successive Entity handling CoC Material to be CoC Certified to create an unbroken chain of custody. It allows for CoC Materials to be mixed with Non-CoC Material over a defined period, at any stage in the value chain. The Entity's Material Accounting System is used to record and calculate the percentage-based input and output of CoC Materials. Note that the CoC Standard stipulates that the output of CoC Material cannot be allocated as 'partially CoC' – so if 20% of output is 'CoC', that 20% is 100% CoC (and not all output is "20% CoC").

- 8.1 The Entity's Management System shall include a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass.
- 8.2 An Entity engaged in Aluminium Re-Melting/Refining to produce Recycled Aluminium shall also record the following breakdown of Recyclable Scrap Material in their Material Accounting System:
 - a. Input Quantity of Post-Consumer Scrap.
 - b. Input Quantity of Pre-Consumer Scrap (total).
 - c. Input Quantity of Pre-Consumer Scrap that is Eligible Scrap, where it is supplied directly from a CoC Certified Entity (where applicable).
- 8.3 The Entity's Material Accounting System shall specify a Material Accounting Period, which shall not be longer than 12 months.
- 8.4 The Entity shall calculate and record the Input Percentage for a given Material Accounting Period using the following formula (except where 8.5 is applicable):

$$\text{Input Percentage} = \frac{(\text{Input Quantity of CoC Material}) \times 100}{(\text{Input Quantity of CoC Material}) + (\text{Input Quantity of Non-CoC Material})}$$

The units used in the numerator and the denominator must be the same.

- 8.5 An Entity engaged in Aluminium Re-Melting/Refining shall calculate and record the Input Percentage for a given Material Accounting Period using the following formula:

$$\text{Input Percentage} = \frac{(\text{Input Quantity of Eligible Scrap}) \times 100}{(\text{Input Quantity of Recyclable Scrap Material})}$$

The units used in the numerator and the denominator must be the same. The Input Quantity of Eligible Scrap and Recyclable Scrap Material shall be based on an assessment of aluminium content.

- 8.6 The Entity shall use the Input Percentage for the given Material Accounting Period to determine the Output Quantity of CoC Material, by mass.
- 8.7 The Output Quantity of CoC Material, which may be a subset of total production, shall be designated as 100% CoC Material.

- 8.8 If the Entity produces Pre-Consumer Scrap from its processing and wishes to designate the relevant proportion as Eligible Scrap, the Entity shall use the Input Percentage for the given Material Accounting Period to determine the Output Quantity of Eligible Scrap.
- 8.9 The Entity's Material Accounting System shall ensure that the total output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to total input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
- 8.10 Where CoC Material is under contract for delivery to an Entity within a given Material Accounting Period, but is subject to a force majeure situation, the Entity's Material Accounting System may carry over an Internal Overdraw to the subsequent Material Accounting Period.
 - a. The Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period.
 - b. The Internal Overdraw shall not exceed the amount of CoC Material affected by the force majeure situation.
 - c. The Internal Overdraw shall be made up within the subsequent Material Accounting Period.
- 8.11 Where an Entity has a Positive Balance of output CoC Material at the end of a Material Accounting Period, this may be carried over to the subsequent Material Accounting Period.
 - a. The Entity's Material Accounting System must clearly identify any carry over of a Positive Balance.
 - b. A Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.

9. Issuing CoC Documents

The Mass Balance System is supported by accurate CoC information accompanying shipments of CoC Material. In the CoC Standard, the set of required CoC information is referred to as CoC Documents (a template is in Appendix 1). Entities often integrate CoC information into their usual shipment processes, such as sales invoices or shipping documentation. Additional data and information may also be included in CoC Documents at the business' discretion, but must be accurate and verifiable.

- 9.1 The Entity shall ensure that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Outsourcing Contractors.
- 9.2 The Entity shall ensure that CoC Documents include at least the following information:
 - a. Date of issue of the CoC Document.
 - b. Reference number for the CoC Document, which is linked to the Entity's Material Accounting System for verification purposes.
 - c. The identity, address and CoC Certification number of the Entity issuing the CoC Document.
 - d. The identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number.

- e. The responsible employee of the Entity who can verify information in the CoC Document.
 - f. A statement confirming that “The information provided in the CoC Document is in conformance with the ASI CoC Standard.”
 - g. Type of CoC Material in the shipment.
 - h. Mass of CoC Material in the shipment.
 - i. Mass of total Material in the shipment.
- 9.3 Where the Entity is engaged in one or more of the following activities, it may also include the applicable Sustainability Data in the CoC Document for that CoC Material:
- a. Entities engaged in Aluminium Smelting, and/or Aluminium Re-Melting/Refining, and/or operating a Casthouse: the average intensity of GHG emissions (scope 1 and scope 2) in tonnes CO₂ –eq per metric tonne ASI Aluminium, from the production of ASI Aluminium, which includes emissions from the Casthouse, produced in the Material Accounting Period.
 - b. Post-Casthouse Entities: where available, the average intensity of GHG emissions (scope 1 and 2) in tonnes CO₂ –eq per metric tonne ASI Aluminium, based on the information provided in 9.3a in received CoC Document/s.
 - c. Post-Casthouse Entities: ASI Certification status for the ASI Performance Standard for the Entity and/or Facility issuing the CoC Document.
- 9.4 If the CoC Document includes Supplementary Information about the Entity or CoC Material, the Entity shall ensure that the Supplementary Information can be supported by objective evidence.
- 9.5 The Entity shall have systems in place to enable it to respond to reasonable requests for verification of information in CoC Documents issued by the Entity.
- 9.6 If an error is discovered after CoC Material has been shipped, the Entity and the receiving party shall document the error and the agreed steps taken to correct it, and implement actions to avoid a recurrence.

10. Receiving CoC Documents

Entities that receive CoC Material will also receive the accompanying CoC Document (section 9) issued by their suppliers. Checking and recording this information supports the accuracy and reliability of the Mass Balance System.

- 10.1 The Entity shall verify that all required information in received CoC Documents, as set out in criteria 9.2 and 9.3, has been included.
- 10.2 The Entity shall verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System.
- 10.3 The Entity shall check the ASI website on a regular basis to verify the validity and scope of the supplier’s ASI CoC Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.

- 10.4 If an error is discovered after CoC Material or Eligible Scrap has been received, the Entity and the supplying party shall document the error and the agreed steps taken to correct it, and implement actions to avoid a recurrence.

11. Market Credit System: ASI Credits

Some types of Post-Casthouse businesses may find it challenging, at least initially, to build an unbroken chain of CoC Certified Entities up to and including their direct suppliers, thus limiting their access to the Mass Balance System. The Market Credits System allows ASI Aluminium from a CoC Certified Casthouse, which is not directly transferred to another CoC Certified Entity or Facility as CoC Material, to be allocated to a CoC Certified Post-Casthouse Entity as 'ASI Credits'. ASI Credits are decoupled from the physical material and thus cannot be allocated back to products or otherwise claimed as 'ASI Aluminium'. Appendix 2 contains a template for ASI Credit Certificates.

- 11.1 An Entity engaged in producing Casthouse Products can allocate excess ASI Aluminium to ASI Credits, where they have systems in place to ensure that:
- The amount of ASI Aluminium allocated to ASI Credits is accounted for in the Entity's Material Accounting System.
 - The Entity's Material Accounting System can link unique identification numbers for the Casthouse Products from which ASI Aluminium has been allocated to ASI Credits.
 - ASI Credits allocated from ASI Aluminium are not Double Counted.
 - ASI Credits are allocated and issued within a Material Accounting Period. A Positive Balance of ASI Credits shall not be carried over to a subsequent Material Accounting Period.
- 11.2 Transactions of ASI Credits shall be recorded in ASI Credits Certificates shared electronically between the supplying and purchasing Entities. The Entity that issues ASI Credit Certificates shall include the following information:
- Date of issue of the ASI Credit Certificate.
 - Reference number for the ASI Credit Certificate, which is linked to the Entity's Material Accounting System for verification purposes.
 - The identity, address, contact email address and CoC Certification number of the Entity issuing the ASI Credit Certificate.
 - The identity, address, contact email address and CoC Certification number of the Entity receiving the ASI Credit Certificate.
 - A statement confirming that "The information provided in the ASI Credits Certificate is in conformance with the ASI CoC Standard."
 - A statement that "ASI Credits may not be re-traded. ASI Credits may not be allocated to physical products or otherwise claimed as ASI Aluminium."
 - Quantity of ASI Credits.
- 11.3 A Post-Casthouse Entity purchasing ASI Credits shall have systems in place to ensure that:
- ASI Credits are purchased by an Entity or Facility within the purchasing Entity's CoC Certification Scope.

- b. ASI Credits purchased by the Entity are accurately accounted for in the purchasing Entity's Material Accounting System and verifiable records kept of all ASI Credit Certificates.
- c. ASI Credits purchased within a Material Accounting Period expire at the end of that Period. A Positive Balance of purchased ASI Credits shall not be carried over to a subsequent Material Accounting Period.
- d. ASI Credits are not re-traded.
- e. ASI Credits are not allocated to physical products or otherwise claimed as ASI Aluminium.
- f. The validity and scope of the supplier's ASI CoC Certification is regularly verified on the ASI website for any changes that might affect its ability to issue ASI Credits.
- g. ASI Credits are purchased by an Entity for a maximum period of five years from their first purchase.

12. Claims and Communications

CoC Certified Entities are encouraged to communicate with their customers and consumers about their support for responsible supply chains. All marketing and communications claims, beyond what is contained in CoC Documents or ASI Credits Certificates, are to be consistent with the assurance provided by the relevant ASI Standards and with the ASI Claims Guide.

- 12.1 Where the Entity makes claims and/or representations about CoC Material outside of CoC Documents, or about ASI Credits outside of ASI Credits Certificates, the Entity shall have systems in place to ensure that:
- a. These are made in a manner and form consistent with the ASI Claims Guide.
 - b. There is verifiable evidence to support the claims and/or representations made.
 - c. Appropriate training is provided for relevant employees to properly understand and communicate the claims and/or representations.

Appendix 1 – ASI CoC Document – Template

This can be used as a template for stand-alone CoC Documents under the ASI Standard. Alternatively, Entities may integrate the required information into their own preferred format.

The CoC Document must not be used for the Market Credits System (see Appendix 2 for an ASI Credits Certificate template).

ASI CoC Document			
<i>The information provided in this CoC Document is in conformance with the ASI CoC Standard.</i>			
Date of issue:		Reference number:	
Issuing Entity		Receiving Customer	
Name of company:		Name of company:	
Address:		Address:	
ASI CoC Certification number:		ASI CoC Certification number <i>(if applicable)</i> :	
Responsible person:		Responsible person:	
CoC Material – Type <i>(check which applies)</i>			
	ASI Bauxite		
	ASI Alumina		
	ASI Liquid Metal		
	ASI Cold Metal		
	ASI Aluminium		
CoC Material			
Form of Material	Mass of CoC Material in shipment:	Mass of total shipment:	Unit of measurement
Sustainability Data (optional)			
Cathouse – average GHG intensity for ASI Aluminium <i>(tonnes CO₂ –eq per tonne Al)</i>			
Post-Cathouse – average GHG intensity for ASI Aluminium <i>(tonnes CO₂ –eq per tonne Al)</i>			
Post-Cathouse – ASI Certification status <i>(for ASI Performance Standard)</i>			
Supplementary information (optional)			

Appendix 2 – ASI Credits Certificate – Template

This can be used as a template for ASI Credits Certificates under the ASI Standard. Note that ASI Credits Certificates may only be generated by a CoC Certified Casthouse and transferred to a Post-Casthouse CoC Entity. ASI Credits cannot be re-traded by the receiving Entity, and cannot be allocated to physical products or otherwise claims as ASI Aluminium.

The ASI Credits Certificate must not be used for transfers of physical CoC Material under the Mass Balance System (see Appendix 1 for a CoC Documents Template).

ASI Credits Certificate			
<i>The information provided in this Certificate is in conformance with the ASI CoC Standard. ASI Credits may not be re-traded. ASI Credits may not be allocated to physical products or otherwise claimed as ASI Aluminium.</i>			
Date of issue:		Reference number:	
Issuing Entity		Receiving Customer	
Name of company:		Name of company:	
Address:		Address:	
ASI CoC Certification number:		ASI CoC Certification number:	
Contact email:		Contact email:	
Quantity of ASI Credits			

Glossary

Accreditation	Recognition of an Auditor's competence to carry out audits and evaluate conformance against an ASI Standard.
Aluminium	Aluminium is a chemical element with symbol Al and atomic number 13. It is a silvery-white, soft, nonmagnetic, ductile metal. Aluminium is the third most abundant element, and the most abundant metal in the Earth's crust. It can be pure or alloyed with other metals (Mg, Si, Mn, Cu, Zn, Fe, Cr and others). In ASI documents, the raw materials used to produce the metal (bauxite ore and alumina) as well as aluminium alloys may be referred to as Aluminium in its generic meaning. ASI covers metallic aluminium and not other forms of chemical compounds that may contain aluminium.
Alumina	Aluminium oxide, which is refined from bauxite ores as an input to aluminium smelting.
Alumina Refining	The process of extracting Alumina from bauxite ore, generally by the Bayer process.
Aluminium Re-melting/Refining	Processes for recycling aluminium process scrap and used aluminium products, which may include processes to improve the quality of secondary aluminium by removing unwanted elements or impurities. In this context, Aluminium refining includes recovery and refining of aluminium from Dross and Dross residues such as slag.
Aluminium Smelting	The process of extracting aluminium from its oxide, alumina, generally by the Hall-Héroult process.
Applicable Law	The relevant international and/or national and/or state and/or local laws of the country or countries in which the Member operates. This may include, but is not restricted to, acts, regulations and statutory policies. Where a conflict arises between Applicable Law and the requirements of an ASI Standard, Applicable Law has precedence.
ASI	Aluminium Stewardship Initiative Ltd
ASI Accredited Auditor	An independent third party person or organisation meeting ASI's objective selection criteria and accredited to carry out ASI Audits.
ASI Alumina	Alumina from a CoC Certified Entity that is produced and transferred in accordance with the ASI CoC Standard.
ASI Aluminium	Aluminium from a CoC Certified Entity that is produced and transferred in accordance with the ASI CoC Standard.
ASI Bauxite	Bauxite from a CoC Certified Entity that is produced and transferred in accordance with the ASI CoC Standard.
ASI Cold Metal	ASI Aluminium used as a Cold Metal input to a Casthouse.
ASI Complaints Mechanism	Aims to ensure the fair, timely and objective resolution of complaints relating to ASI's standards setting processes, certification program, auditor conduct and ASI policies and procedures. Available at: http://aluminium-stewardship.org/asi-complaints-mechanism/
ASI Credits	Can be produced under the Market Credits System, where an amount of physical ASI Aluminium in the form of Casthouse Products is allocated to ASI Credits which become decoupled from the flow of physical material.
ASI Credits Certificate	A document that represents a virtual allocation of physical ASI Aluminium to ASI Credits, from a CoC Certified Casthouse to another CoC Certified Entity. ASI Credits Certificates are not tradeable instruments and have only one issuer and one purchaser.

ASI Liquid Metal	Liquid Metal from a CoC Certified Entity that is produced and transferred in accordance with the ASI CoC Standard.
ASI Member	<p>An entity or group of entities that is a current member of one of ASI's six membership classes:</p> <ul style="list-style-type: none"> • Production and Transformation (eligible for ASI Certification) • Industrial Users (eligible for ASI Certification) • Civil Society • Downstream Supporters • Associations • General Supporters <p>The use of Member in the CoC Standard means an ASI Member in the 'Production and Transformation' or 'Industrial Users' classes.</p>
ASI Standards	Includes the ASI Performance Standard and the ASI Chain of Custody (CoC) Standard.
Audit	Assessment carried out by an independent third party ASI Accredited Auditor for the purposes of confirming conformance of an ASI Member with the ASI Standard/s. Audit types include Certification Audits, Surveillance Audits and Re-Certification Audits.
Auditor	An independent, third party person or organisation meeting the ASI's objective selection criteria and accredited to carry out ASI Audits.
Bauxite	Mined ore used to produce alumina and aluminium metal. It consists largely of hydrated alumina with variable proportions of iron oxides.
Bauxite Mining	Extraction of Bauxite from the earth for commercial purposes.
Casthouse	Where molten aluminium in furnaces, usually sourced as Liquid Metal, Cold Metal and/or other alloying metals, is cast into specific Casthouse Products to meet customer specifications or supplied to a customer as Liquid Metal.
Casthouse Products	Aluminium or its alloys in forms that include ingots, slabs, bars, billets, wire rod or other speciality products and which have a physical stamp or marking on or with the product that identifies the producing Casthouse and a unique identification number.
Certified	ASI Certification that is currently valid.
Certification	An attestation issued by ASI, based on the results of a Certification 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.
Chain of Custody	The documented sequence of Custody that occurs when CoC Material is transferred from one Facility and/or Entity to another along the supply chain.
CoC	Chain of Custody
CoC Certification Scope	The CoC Certification Scope sets out what parts of the Entity's business and/or Facilities are covered by the Material Accounting System for the purposes of inputs and outputs of CoC Material, including any Outsourcing Contractors if applicable.
CoC Document	Document containing the required information in section 9 of the CoC Standard. Can be a stand-alone document (a template is in Appendix 1), or integrated into the Entity's normal sales invoices or delivery documentation.
CoC Material	A collective term for ASI Bauxite, ASI Alumina, ASI Liquid Metal, ASI Cold Metal and ASI Aluminium.
CoC Standard	ASI Chain of Custody Standard
CoC Certification	Certification against the ASI Chain of Custody Standard
CoC Certified Entity	An Entity that is Certified against the ASI Chain of Custody Standard

Cold Metal	Aluminium in a cast form that is remelted to reduce the heat of Liquid Metal and/or to meet alloying specifications in the casting process in a Casthouse. This includes re-melt ingots or scrap Casthouse Products (for example, off-specification production).
Collection	Collection of process scrap and/or used aluminium products for the purposes of recycling.
Control	Control by an Entity consists of: <ol style="list-style-type: none"> 1. Direct or indirect majority ownership, or Control (alone or pursuant to an agreement with other entities) of 50% of more of the voting rights (or equivalent) of the Controlled business or Facility; and/or 2. Direct or indirect (including pursuant to an agreement with other entities) power to remove, nominate or appoint at least half of the members of the Board of the directors or management (or equivalent of the Controlled business or Facility); and/or 3. Day-to-day executive management of the Controlled business or Facility such as by setting workplace standards and enforcing their application; or 4. Any legally recognised concept of 'Control' analogous to those described in (1) to (2) above in a relevant jurisdiction. 5. Although the above defines 'Control' in a corporate context, the same principles will apply by analogy to other organisational arrangements, including franchisees, licensees and Control by an individual or a family, where applicable.
Custody	The physical possession of CoC Material by an Entity or Outsourcing Contractor for the purposes of production, processing and/or trading.
Double Counted	A situation, inclusive of double selling, double issuance, and double claiming, where ASI Aluminium is sold or transferred as both physical ASI Aluminium and as ASI Credits, resulting in the underlying CoC Material being counted, recorded, or claimed more than once.
Dross	A layer of intimately mixed Aluminium, Aluminium oxides and gases on the surface of molten aluminium which is generated in furnaces for Aluminium Re-melting/Refining and Casthouses. Also known as skimmings, it must be removed from the surface before the metal is cast. It is also recovered from the bottom and walls of liquid metal containers, e.g. furnaces or transport ladles or transfer channels. (Adapted from Aluminium Recycling in Europe , European Aluminium)
Due Diligence	An ongoing, proactive and reactive process through which companies can identify and assess risks, and design and implement a strategy to respond to identified risks. For the ASI CoC Standard, the key risk areas are linked to the ASI Performance Standard through the following criteria: <ul style="list-style-type: none"> • Anti-Corruption • Responsible Sourcing • Human Rights Due Diligence • Conflict Affected and High Risk Areas
Eligible Scrap	Post-Consumer Scrap and/or Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity and/or Aluminium from Dross and treated Dross residues. Eligible Scrap is a subset of all Recyclable Scrap Material.
Entity	A business or similar which is under the ownership or Control of an ASI Member. An Entity can constitute part or whole of an ASI Member. In relation

	to the application of the CoC Standard, the Entity seeks or holds CoC Certification and is responsible for implementation of the CoC Standard in the defined CoC Certification Scope.
Facility	<p>A Facility is a site, premises or operation that is:</p> <ul style="list-style-type: none"> ▪ Under the Control of a Member; ▪ For the purposes of ASI Certification, within the documented Certification Scope. <p>In relation to the application of the CoC Standard, a Facility is a site, premises or operation with Custody of CoC Material.</p>
GHG	<p>Greenhouse Gas</p> <p>Gaseous compounds in the atmosphere that are capable of absorbing infrared radiation, thereby trapping and holding heat in the atmosphere. By increasing the heat in the atmosphere, greenhouse gases are responsible for the greenhouse effect, which ultimately leads to global warming. Six GHG covered by the UNFCCC are: carbon dioxide (CO₂), methane (CH₄), nitrous oxide (N₂O), hydrofluorocarbons (HFCs), perfluorocarbons (PFCs), and sulphur hexafluoride (SF₆). (Adapted from UNFCCC)</p>
Industrial Users membership class	Organisations that manufacture consumer or commercial goods containing aluminium in the: aerospace, automotive, construction, consumer durables, engineering, IT, and similar sectors; and organisations in the beverage, food, pharmaceutical and similar sectors that use aluminium in packaging for their products. Industrial Users are required to seek ASI Certification for at least one of their facilities or product lines.
Input Percentage	The percentage used to determine the Output Quantity of CoC Material, and calculated by dividing the input of CoC Material by the total of input of CoC plus Non-CoC Material; or in the case of Recyclable Scrap Material, by dividing the input of Eligible Scrap by the total input of Recyclable Scrap Material.
Input Quantity	The amount (in units of mass) of CoC Material, Non-CoC Material and/or Recyclable Scrap Material as an input to a CoC Certified Entity.
Internal Overdraw	Where the Entity's Material Accounting System allows the Output Quantity to temporarily exceed the Input Quantity in a Material Accounting Period due to a force majeure situation. The Internal Overdraw must be made up in the subsequent Material Accounting Period.
Liquid Metal	Aluminium in a molten form.
Management Representative	A member of senior management personnel nominated by the company to ensure that the requirements of the standard are met. (Adapted from Social Accountability International, SA8000: 2008 , pg 5)
Management System	<p>Management processes and documentation that collectively prove a systematic framework for ensuring that tasks are performed correctly, consistently and effectively to achieve the desired outcomes, and to drive continual improvement in performance.</p> <p>For the CoC Standard, the Entity's Management System must include a Material Accounting System.</p>
Market Credits System	Allows a CoC Certified Casthouse to allocate its excess ASI Aluminium (produced under the Mass Balance System) to ASI Credits, which can be transferred to a CoC Certified Post-Casthouse Entity further downstream via an ASI Credits Certificate. ASI Credits are not connected to physical acquisition of the corresponding material, so cannot be claimed or sold by the receiving Entity as ASI Aluminium.

Mass Balance System	Requires each successive Entity with Custody of CoC Material to be CoC Certified, and allows for CoC Materials in an Entity's custody to be mixed with Non-CoC Materials over a defined Material Accounting Period, at any stage in the aluminium supply chain. The Input Percentage of CoC Material is used to calculate the Output Quantity of CoC Material. Note that the CoC Standard stipulates that the output of CoC Material cannot be allocated as 'partially CoC' – so if 20% of output is 'CoC', that 20% is 100% CoC (and not all output is "20% CoC").
Material Accounting Period	A period of time, not longer than 12 months, during which CoC Material, Eligible Scrap and/or ASI Credits inputs and outputs are accounted for and reconciled.
Material Accounting System	Part of the Entity's Management System used for controlling and accounting for the inputs and outputs of CoC Material and ASI Credits. They may be stand-alone systems or integrated with purchasing, inventory, accounting, or other systems.
Non-CoC Material	Material in the form of Bauxite, Alumina, Liquid Metal, Cold Metal and/or Aluminium that is not produced and/or transferred in accordance with the CoC Standard.
Output Quantity	The amount (in units of mass) of CoC Material or Eligible Scrap as an output from a CoC Certified Entity.
Outsourcing Contractor	An individual, company or other business that takes Custody of CoC Material from an Entity for the purpose of processing, treatment, or manufacturing the CoC Material for that Entity. Outsourcing Contractors that are not themselves CoC Certified must be included in the Entity's CoC Certification Scope.
Performance Standard	ASI's standard that defines environmental, social and governance principles and criteria, with the aim to address sustainability issues relevant to the production and material stewardship of aluminium, from the extraction of bauxite to the production of commercial and consumer goods, and the recycling of pre- and post-consumer aluminium scrap.
Positive Balance	The net difference where an Entity's Material Accounting System records that an Entity's total CoC Material and/or Eligible Scrap inputs are higher than the Entity's total CoC Material and/or ASI Credits outputs transferred to another Entity at the end of a Material Accounting Period.
Post-Casthouse Entity	An Entity that carries out further processing, treatment or manufacturing of Aluminium subsequent to the production of Casthouse Products. This includes Entities engaged in semi-fabrication, material conversion, manufacturing, further production, assembly, fabrication and/or construction.
Post-Consumer Scrap	Material containing Aluminium that is reclaimed from a consumer or commercial product that has been used for its intended purpose by individuals, households or commercial, industrial and institutional facilities as end-users of the product which can no longer be used for its intended purpose. (Adapted from ISO 14021:2016)
Pre-Consumer Scrap	Material containing Aluminium that is diverted from the waste stream from a manufacturing process or similar, in which the material has not been intentionally produced, is unfit for end use and not capable of being reclaimed within the same process that generated it. (Adapted from ISO14021:2016)
Primary Aluminium	Aluminium produced from bauxite ore, through refining to produce alumina, then smelting to produce aluminium.

Production and Transformation membership class	Organisations with activities in one or more of: bauxite mining, alumina refining, aluminium smelting, aluminium re-melting/refining, semi-fabrication and/or material conversion. Production and Transformation members are required to seek ASI Certification for at least one of their facilities or product lines.
Recyclable Scrap Material	Pre-Consumer Scrap, Post-Consumer Scrap and Dross in any form.
Recycled Aluminium	Aluminium produced from processes such as re-melting (to produce Liquid Metal) and aluminium refining (which removes unwanted elements or impurities for aluminium). Recycled Aluminium is also known as secondary aluminium.
Responsible Mining Standard	A third party standard for responsible mining practices deemed by ASI, through a process of formal review and opportunity for stakeholder comment, to be comparable to the ASI Performance Standard. Information will be maintained at www.aluminium-stewardship.org
Semi-Fabrication	Rolling or extrusion of Casthouse Products, as an intermediate processing stage for subsequent Material Conversion and/or further downstream processing and manufacturing of finished products. Examples of semi-fabricated products include sheet, foil, and can stock; extruded rod, bar, shapes, pipe and tube; and other mill products such as drawing stock, wire, powder and paste.
Supplementary Information	Additional information that can be included in CoC Documents, such as: identify CoC Material shipped via third parties; to provide reference to additional certifications or accreditations beyond ASI Certification applying to the CoC Material or supplying Entity; additional claims about origin, source or practices in the supply chain; or other general information via website links.
Sustainability Data	Data that can be included in CoC Documents that supports the social, environmental and/or economic benefits of ASI Aluminium. Version 1 of the CoC Standard focuses on GHG emissions and Certification status of Post-Casthouse Entities.



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