

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

CHALCO RUIMIN CO., LTD.

CERTIFICATE
NUMBER

117

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

8 FEBRUARY 2021

DATE OF EXPIRY

7 FEBRUARY 2024

CERTIFIED SINCE

8 FEBRUARY 2021

AUTHORISED BY

A stylized, handwritten signature in white ink, consisting of a large 'J' followed by a horizontal line.

Aluminium Stewardship Initiative Ltd
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*Validity of this Certificate is subject to continued
conformance with the applicable ASI Standard
and can be verified at*

www.aluminium-stewardship.org

CERTIFICATION SCOPE

Chalco Ruimin manufactures and sells Aluminium Can Body Stock, aluminium materials for electronics applications, aluminium materials for high-end offset plate and aluminium materials for transportation. The main processes include remelting and casting, hot rolling, cold rolling and finishing.

Chalco Ruimin owns two plants: One plant at 8 Luoxingta Road, Mawei, Fuzhou, Fujian, China and the other plant at Connecting Line of Jianghua Avenue, Lianhua District, Huaqiao Farm, Jiangjing Town, Fuqing, Fuzhou, Fujian, China.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Chalco Ruimin Co.,Ltd.
ENTITY NAME	Chalco Ruimin Co.,Ltd.
CERTIFICATION SCOPE	<p>Chalco Ruimin manufactures and sells Aluminium Can Body Stock, aluminium materials for electronics applications, aluminium materials for high-end offset plate and aluminium materials for transportation. The main processes include remelting and casting, hot rolling, cold rolling and finishing.</p> <p>Chalco Ruimin owns two plants: One plant at 8 Luoxingta Road, Mawei, Fuzhou, Fujian, China and the other plant at Connecting Line of Jianghua Avenue, Lianhua District, Huaqiao Farm, Jiangjing Town, Fuqing, Fuzhou, Fujian, China.</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Casthouses• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (23 – 26 December 2020)• Surveillance Audit (18 – 20 July 2022)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 23 – 26 December 2020 (Initial Certification Audit)• 18 – 20 July 2022 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 21 January 2021 (Initial Certification Audit)• 17 August 2022 (Surveillance Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (23 – 26 December 2020)</u></p> <p>The audit scope covered Chalco Ruimin's two plants: Mawei, Fuzhou, Fujian, China and at Fuqing, Fujian, China.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">• Casthouses• Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

Surveillance Audit (18 – 20 July 2022)

The audit scope covered Chalco Ruimin's two plants: Mawei, Fuzhou, Fujian, China and at Fuqing, Fujian, China.

Supply chain activities included in the Audit Scope:

- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

AUDIT OUTCOME	<ul style="list-style-type: none">• Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<input checked="" type="checkbox"/> The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.<input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
CERTIFICATION PERIOD	8 February 2021 – 7 February 2024
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	7 February 2024
CERTIFICATE NUMBER	117

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an active ASI Member and commits to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category: https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd
1.2 Management system	Conformance	The Entity has established policies, systems, procedures and processes that can comply with the ASI CoC Criteria regarding a Management System. The Management System has the capacity to handle ASI CoC Material. The Entity has an integrated Management System that is certified against ISO 9001. The Entity's ISO 9001 Certificate was issued by BSI and is valid in the Certification Period.
1.3 Management system reviews	Conformance	The Entity established a process to review at least once every 12 months the Management System to assess the effectiveness of the ASI CoC management and address potential areas of non-conformance/improvement. The latest management review meeting was conducted on May 20, 2022.
1.4 Management representative	Conformance	The Entity has nominated a senior management member as the ASI Management Representative to have overall responsibility for the implementation of and conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Training	Conformance	The Entity has established and implemented communications and training measures that make relevant personnel aware of, and are competent in their responsibilities under the ASI Chain of Custody Standard. The training records are kept as evidence.
1.6 Record keeping	Conformance	The Entity has established the Record Management Procedure based on the ISO 19001 Management Procedure to maintain records (Management System) covering all applicable requirements including the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity reported the inputs and outputs of ASI Aluminium to the ASI Secretariat in May 2022. As there was no CoC Material available in the Entity's supply chain, the Input and Output Quantity in 2021 was 0.
1.7b Reporting to ASI (Input Percentage)	Conformance	Annual reporting process have been developed and implemented. The Entity reported the inputs and outputs of ASI Aluminium to the ASI Secretariat in

CRITERION	RATING	COMMENT
		May 2022. As there was no CoC Material available in the Entity's supply chain, the Input Percentage in 2021 was 0.
1.7c Reporting to ASI (Positive Balance)	Conformance	Annual reporting process have been developed and implemented. The Entity reported the inputs and outputs of ASI Aluminium to the ASI Secretariat in May 2022. As there was no CoC Material available in the Entity's supply chain, no Positive Balance occurred in 2021.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	Annual reporting process have been developed and implemented. The Entity reported the inputs and outputs of ASI Aluminium to the ASI Secretariat in May 2022. As there was no CoC Material available in the Entity's supply chain, no Internal Overdraw occurred in 2021.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	The Entity does not intend to produce recycled (secondary) ASI Aluminium.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Conformance	The Entity's ASI CoC Management Manual, Article 2, addresses the management requirements for Outsourcing Contractors without CoC Certification. Currently, no Outsourcing Contractors are used, though the management procedure has been established.
2.2a Control of CoC Material	Conformance	The Entity has established procedures and contract items to define and control ownership of CoC Material used by Outsourcing Contractors. Currently, no Outsourcing Contractors are used, though the management procedure has been established.
2.2b No further outsourcing	Conformance	The Entity has assessed the risk of potential Non-Conformance resulting from the engagement of each Outsourcing Contractor. Currently, no Outsourcing Contractors are used, though the management procedure has been established.
2.2c Risk assessment	Conformance	The Entity has assessed the risk of potential Non-Conformance resulting from the engagement of each Outsourcing Contractor. Currently, no Outsourcing Contractors are used,

CRITERION	RATING	COMMENT
		though the management procedure has been established.
2.3 Output Quantity	Conformance	The Entity has processes to ensure that the Outsourcing Contractor provides information on Output Quantity of CoC Material to the Entity at the end of the Entity's Material Accounting Period. Currently, no Outsourcing Contractors are used, though the management procedure has been established.
2.4 Verification and record-keeping	Conformance	The Entity has processes to verify that the Output Quantity of CoC Material is consistent with the Input Quantity of CoC Material provided to the Outsourcing Contractor, and to record it in its Material Accounting System. Currently, no Outsourcing Contractors are used, though the management procedure has been established.
2.5 Error management	Conformance	The Entity has processes to handle an error where it 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. Currently, no Outsourcing Contractors are used, though the management procedure has been established.
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		
3.1a CoC Certification Scope – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Performance Standard – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a CoC Certification Scope – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Pre-Consumer Scrap and Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Supplier records	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Cash payments	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a CoC Certification Scope - Casthouses	Conformance	The observed system ensures production of ASI Aluminium only from the Casthouse that is within the Entity's CoC Certification Scope.
5.1b ASI Performance Standard - Casthouses	Conformance	The audit scope of the ASI Performance Standard covers the Casthouse. The certification information of the Entity's ASI Performance Standard is available at: https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd
5.2 Casthouse Products	Conformance	The Entity has implemented systems to ensure that unique identification numbers, either physically stamped and/or printed on ASI Aluminium Products or their packaging, can be linked to their Material Accounting System. The Material Accounting System on the Casthouse site of the Entity is ready and has been tested. At the time of this audit, there were no examples of effective implementation of the system as no ASI CoC Material are available in the Entity's supply chain.

6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a CoC Certification Scope - Post-Casthouse	Conformance	The observed system ensures production of ASI Aluminium only from the facilities that are within the Entity's CoC Certification Scope. The management responsibilities are assigned to the Purchasing Department.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity has implemented system to ensure that it produces ASI Aluminium only from the Entity's Facilities certified against the ASI Performance Standard. The certification information of the Entity's ASI Performance Standard is available at: https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd

CRITERION	RATING	COMMENT
6.1c Sourcing ASI Aluminium	Conformance	The Entity has implemented systems to ensure that ASI Aluminium is purchased only from the eligible Entities/Facilities directly or indirectly via a metals trader or warehouse. At the time of the audit, there were no examples of effective implementation of the system as there was no sourcing and transfer of CoC Material.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	In compliance with the ASI Performance Standard, the Entity has an anti-corruption policy. Anti-corruption is one of the principles of the Entity's Responsible Sourcing Policy. The relevant training courses are provided to employees. All identified major next tier suppliers are communicated with on the Policy, and the Commitment Letters of Business Ethics are signed by the suppliers. The Responsible Sourcing Policy is published at: http://www.ruimin.com/plugin/login/respon.html
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has a Responsible Purchasing Policy,. The relevant training course are provided to employees. All identified major next tier suppliers are communicated with on the policy, and the Commitment Letters of Responsible Purchasing are signed by the suppliers. The Responsible Sourcing Policy is published at: http://www.ruimin.com/plugin/login/respon.html
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has a Responsible Purchasing Policy, which addresses Human Rights Due Diligence. All identified major next tier suppliers are informed about the Policy and signed the Commitment Letters of Responsible Purchasing. The Responsible Purchasing Policy is published at: http://www.ruimin.com/plugin/login/respon.html
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has a Responsible Sourcing Policy which addresses Conflict-Affected and High-Risk Areas. The relevant training course is provided to employees. All identified major next tier suppliers are informed about the Policy and signed the Commitment Letters of Non-Conflict-Mineral. The Responsible Purchasing Policy is published at: http://www.ruimin.com/plugin/login/respon.html
7.2 Risk assessment	Conformance	The Entity undertakes risk assessments of its suppliers and completes risk mitigation efforts where relevant. The Entity also conducts second party audits of its major next tier suppliers.

CRITERION	RATING	COMMENT
7.3 Complaints mechanism	Conformance	The Entity has a complaints mechanism that meets the requirements of the ASI Performance Standard. The Entity has a whistleblower/complaints channel to enable employees and external Stakeholders to anonymously report potential misconducts (hotline: +86-0591-83986190, mailbox: rmjj@ruimin.com). The information can be reached via: http://www.ruimin.com/plugin/login/respon.html
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that can record Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass.
8.2a Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2b Pre-Consumer Scrap (total)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months, January 01 to December 31.
8.4 Input Percentage	Conformance	The Entity has established a process to calculate and record the Input Percentage. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting System to determine the Output Quantity. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.7 Output Quantity designation	Conformance	The Entity has established a Material Accounting System which designates the Output Quantity of CoC Material defined. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity has established a Material Accounting System. The relevant proportion of Pre-Consumer Scrap will be designated as Eligible Scrap and the

CRITERION	RATING	COMMENT
		<p>Input Percentage for the given Material Accounting Period will be used to determine the Output Quantity of Eligible Scrap.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
8.9 Outputs not exceed Inputs	Conformance	<p>The Entity's accounting system is developed to have updated information on inventory balance on a frequent basis.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
8.10a Internal Overdraws (not exceed 20%)	Conformance	<p>The principle of Internal Overdraws to not exceed 20%, is defined in the CoC Management Manual.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
8.10b Internal Overdraws (not exceed affected amount)	Conformance	<p>The principle of Internal Overdraws to not exceed the amount of CoC Material affected by the force majeure situation, is defined in the CoC Management Manual.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
8.10c Internal Overdraws (period to make up)	Conformance	<p>The principle of Internal Overdraws to be made up within the subsequent Material Accounting Period, is defined in the CoC Management Manual.</p> <p>At the time of the audit, there were no examples of effective implementation of the System, as no ASI CoC Material was available in the Entity's supply chain.</p>
8.11a Positive Balance (carry over)	Conformance	<p>The Entity has established a Material Accounting System in compliance with the ASI Chain of Custody Standard requirements.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Materials were available in the Entity's supply chain.</p>
8.11b Positive Balance (expiry)	Conformance	<p>The Entity has established a Material Accounting System in compliance with the ASI Chain of Custody Standard requirements.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI</p>

CRITERION	RATING	COMMENT
		CoC Material was available in the Entity's supply chain.
9 ISSUING CoC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has a system that can issue the CoC Documents to each shipment and transfer, ensuring that these are controlled, issued and stored as per the ASI Chain of Custody Standard requirements. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2a Date of issue	Conformance	The Entity uses the ASI CoC Document template in the ASI CoC Standard, the date of issue is included. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2b Reference number	Conformance	The Entity uses the ASI CoC Document template in the ASI CoC Standard. The reference number is included. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2c Issuing Entity	Conformance	The Entity uses the ASI CoC Document template in ASI CoC Standard. Chalco Ruimin Co., Ltd. is the Issuing Entity. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2d Receiving customer	Conformance	The Entity uses the ASI CoC Document template in the ASI CoC Standard. The information about the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, its CoC Certification Number is included. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material is available in the Entity's supply chain.
9.2e Responsible employee	Conformance	The Entity uses the ASI CoC Document template in the ASI CoC Standard. The responsible employee who can verify this information, is included. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.

CRITERION	RATING	COMMENT
9.2f Conformance statement	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The statement confirming that “The information provided in the CoC Document is in Conformance with the ASI CoC Standard.”, is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity’s supply chain.</p>
9.2g Type of CoC Material	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The types of CoC Materials in the shipment are included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity’s supply chain.</p>
9.2h Mass of CoC Material	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The mass of CoC Material is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity’s supply chain.</p>
9.2i Mass of total material	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The mass of total Material is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity’s supply chain.</p>
9.3a Sustainability Data (optional)	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The optional sustainable data is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity’s supply chain.</p>
9.3b Sustainability Data (passing on)	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The optional sustainable data is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity’s supply chain.</p>
9.3c Post-Casthouse ASI Certification status	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The ASI Certification Status for the ASI Performance Standard for the Entity is</p>

CRITERION	RATING	COMMENT
		<p>included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.4 Supplementary Information (optional)	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. There is a column for Supplementary Information in the document template. The Entity can provide the Supplementary Information as per the requirements from the customer</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.5 Response to verification requests	Conformance	<p>The Entity establishes the process and assigns the responsibility to respond to the verification request.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.6 Error management	Conformance	<p>The Entity will integrate error management with its current processes under ISO 9001, to deal with the error and prevent it from re-occurring.</p> <p>At the time of the audit, there were no examples of effective implementation of the System, as no ASI CoC Material was available in the Entity's supply chain.</p>
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	<p>In Chapter 10 of the ASI Chain of Custody Management Manual, the process and responsibility are defined for the verification of the information on the received CoC Documents.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
10.2 Verify consistency with shipments	Conformance	<p>In Chapter 10 of the ASI CoC Management Manual, the process and responsibility are defined for the verification of the consistency of received CoC Documents with the accompanying CoC Material, or Eligible Scrap, before recording information in their Material Accounting System.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>

CRITERION	RATING	COMMENT
10.3 Verify supplier CoC Certification status	Conformance	The Entity appeared to have planned robust processes to ensure suppliers have a valid ASI Certificate and to trigger adequate processes if any changes occur in their status. The process will be managed by the Sales Department.
10.4 Error management	Conformance	The Entity will integrate error management with its current processes under ISO 9001, which appeared to be robust to document errors, Corrective Actions and any potential preventive measures, to meet the ASI Chain of Custody Standard Criteria.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System - allocation	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.1c No double counting	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.1d No Positive Balance of ASI Credits	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2a Date of issue	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2b Reference number	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2c Issuing Entity	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2d Receiving Entity	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2g Quantity	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3a CoC Certification Scope - purchasing ASI Credits	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3b Material Accounting System - purchasing	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.

CRITERION	RATING	COMMENT
11.3c Expiry	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3d No re-trading	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3e No allocation to physical products	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3g Five year maximum for ASI Credits purchasing	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.

12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	<p>The Entity's ASI CoC Management Manual defines all claims, and communications shall follow the ASI Claims Guide including communication with the ASI Secretariat, and the relevant roles and responsibilities are defined.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
12.1b Verifiable evidence	Conformance	<p>The Entity has appointed roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
12.1c Employee training	Conformance	<p>The Entity uses the training process defined in the ASI Management Manual to provide the training courses on "Claim and Communication" to relevant employees. The employees engaged in CoC management receive the relevant training courses.</p>

Document Control and Version History

Revision	Date	Notes
0	8 February 2021	Initial Certification Audit
1	9 September 2022	Surveillance Audit