

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# ANHUI ZHONGJI BATTERY FOIL SCIENCE & TECHNOLOGY CO., LTD.

CERTIFICATE  
NUMBER

130

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

DNV BUSINESS  
ASSURANCE  
SERVICES UK  
LTD.

DATE OF ISSUE

19 APRIL 2021

DATE OF EXPIRY

18 APRIL 2024

CERTIFIED SINCE

19 APRIL 2021

AUTHORISED BY

A white, handwritten signature on a dark grey background.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
info@aluminium-stewardship.org

*Validity of this Certificate is subject to continued  
conformance with the applicable ASI Standard  
and can be verified at [www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)*

CERTIFICATION SCOPE

Anhui Zhongji Battery Foil Science & Technology Co.,  
Ltd. located at 88 Yinghua West Road, Suixi  
Economic Development Zone, Anhui Province, China.

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Jiangsu Zhongji Lamination Materials Co., Ltd.
ENTITY NAME	Anhui Zhongji Battery Foil Science & Technology Co., Ltd.
CERTIFICATION SCOPE	Anhui Zhongji Battery Foil Science & Technology Co., Ltd. located at 88 Yinghua West Road, Suixi Economic Development Zone, Anhui Province, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Casthouses</li><li>• Post-Casthouse</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Chain of Custody Standard V1</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (29 – 30 March 2021)</li><li>• Surveillance Audit (18 August 2022)</li></ul>
AUDIT FIRM	DNV Business Assurance Service UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 29 – 30 March 2021 (Initial Certification Audit)</li><li>• 18 August 2022 (Surveillance Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 6 April 2021 (Initial Certification Audit)</li><li>• 9 September 2022 (Surveillance Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (29 – 30 March 2021)</u></p> <p>Anhui Zhongji Battery Foil Science &amp; Technology Co., Ltd. is located at No. 88, Yinghua West Road, Suixi Economic Development Zone, Anhui Province, China. The main product is High Precision Aluminium Strip and the main production processes include remelting and casting, cold rolling, and finishing.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>• Casthouses</li><li>• Post-Casthouse</li></ul> <p>All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>

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### Surveillance Audit (18 August 2022)

Anhui Zhongji Battery Foil Science & Technology Co., Ltd. is located at No. 88, Yinghua West Road, Suixi Economic Development Zone, Anhui Province, China. The main product is High Precision Aluminium Strip and the main production processes include remelting and casting, cold rolling, and finishing.

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.

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#### AUDIT OUTCOME

- Certification

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#### AUDIT METHODOLOGY DECLARATION

The Auditors confirm that:

- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.
- The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
- 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.
- The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

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#### CERTIFICATION PERIOD

19 April 2021 – 18 April 2024

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#### NEXT AUDIT TYPE

Re-Certification Audit

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#### NEXT AUDIT DUE DATE

18 October 2023

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#### CERTIFICATE NUMBER

130

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an active ASI Member committed to complying with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category. <a href="https://aluminium-stewardship.org/about-asi/asi-members/jiangsu-zhongji-lamination-materials-co-ltd">https://aluminium-stewardship.org/about-asi/asi-members/jiangsu-zhongji-lamination-materials-co-ltd</a>
1.2 Management system	Conformance	The Entity has established Policies, systems, procedures, and processes that comply with the ASI Chain of Custody (CoC) Standard. The Management System can manage ASI CoC Material.
1.3 Management system reviews	Conformance	The Entity has established the ASI CoC Management Manual that includes 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 and improvement.
1.4 Management representative	Conformance	A member of Senior management has nominated the Vice General Manager as the ASI Management Representative to have overall responsibility for the implementation of ASI CoC and the conformance with all applicable requirements of the ASI CoC Standard.
1.5 Training	Conformance	The Entity has established and implemented communications and training measures that make relevant personnel aware of and competent in their responsibilities under the CoC Standard.
1.6 Record keeping	Conformance	The Entity establishes the record management procedure to maintain records covering all applicable requirements of the CoC Standard and the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity reported the Inputs and Outputs to the ASI Secretariat on 6 July 2022.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity reported to the ASI Secretariat on 6 July 2022 and the Input Percentage was 0.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity reported to the ASI Secretariat on 6 July 2022 and no Positive Balance was carried forward.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity reported to the ASI Secretariat on 6 July 2022 with no Internal Overdraw.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	This Criterion is not applicable as the Entity does not use Eligible Scrap.

CRITERION	RATING	COMMENT
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	The Entity does not use ASI Market Credits System, the reported amount is 0.
1.7g Reporting to ASI (ASI Credits purchased)	Conformance	The Entity does not use ASI Market Credits System, the reported amount is 0.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.2a Control of CoC Material	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.2b No further outsourcing	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.2c Risk assessment	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.3 Output Quantity	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.4 Verification and record-keeping	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
2.5 Error management	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors for further processing, treatment, or manufacturing.
<b>3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL</b>		
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.

CRITERION	RATING	COMMENT
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.
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 Entity has implemented a system to ensure the production of ASI Aluminium only comes from the Casthouse that is within the Entity's CoC Certification Scope.
5.1b ASI Performance Standard - Casthouses	Conformance	The Entity has implemented a system to ensure the production of ASI Aluminium only comes from the Casthouse Certified against the ASI Performance Standard.
5.2 Casthouse Products	Conformance	The Entity has established systems to ensure that unique identification numbers printed on a label for ASI Aluminium, can be linked to the Material Accounting System. The Entity has implemented a Material Accounting System for the Casthouse. At the time of the Audit, there are no examples of ASI CoC Material available in the Entity's supply chain.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Entity has established systems to define and ensure the production of ASI Aluminium only comes from Facilities within the Entity's CoC Certification Scope.

CRITERION	RATING	COMMENT
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity has established a system to ensure that it produces ASI Aluminium only from the Entity's ASI Performance Standard Certified Facilities.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has established systems to ensure that the ASI Aluminium is purchased only from the eligible Entities/Facilities directly or indirectly via a metals Trader and warehouse. At the time of the audit, there are no examples of 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	The Entity has implemented a Responsible Sourcing Policy that covers Anti-Corruption. All identified major next-tier suppliers are informed of the Policy and must sign a letter of commitment for Business Ethics. The responsible sourcing Policy is available at: <a href="http://www.ahzjalufoil.com/uploadfile/file/20220106/20220106171158.pdf">http://www.ahzjalufoil.com/uploadfile/file/20220106/20220106171158.pdf</a>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has implemented a Responsible Purchasing Policy which is communicated to all major next-tier suppliers. They are required to sign a letter of commitment for Responsible Purchasing. The Responsible Purchasing Policy is available at: <a href="http://www.ahzjalufoil.com/uploadfile/file/20220106/20220106171158.pdf">http://www.ahzjalufoil.com/uploadfile/file/20220106/20220106171158.pdf</a>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has implemented a Responsible Purchasing Policy that covers Human Rights Due Diligence which is communicated to all identified major next-tier suppliers. They are required to sign a letter of commitment for Responsible Purchasing. The Responsible Purchasing Policy is published at: <a href="http://www.ahzjalufoil.com/uploadfile/file/20220106/20220106171158.pdf">http://www.ahzjalufoil.com/uploadfile/file/20220106/20220106171158.pdf</a>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has implemented a Responsible Purchasing Policy that covers Conflict-Affected and High-Risk Areas (CAHRAs). The Policy is communicated to all identified major next-tier suppliers. They are required to sign a letter of commitment for Non-Conflict-Minerals. A training course is provided to employees. The Responsible Purchasing Policy is available at: <a href="http://www.ahzjalufoil.com/uploadfile/file/20220106/20220106171158.pdf">http://www.ahzjalufoil.com/uploadfile/file/20220106/20220106171158.pdf</a>
7.2 Risk assessment	Conformance	The Entity has undertaken 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 implemented a Complaints Mechanism and a Whistleblower/Complaint channel to enable employees and external stakeholders to report anonymously potential misconduct. A telephone and email address are available for use by all stakeholders. The information is available in the Sustainability Report 2021, page 19: <a href="http://www.ahzjalufoil.com/uploadfile/file/1660118746.pdf">http://www.ahzjalufoil.com/uploadfile/file/1660118746.pdf</a>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has implemented an ASI CoC Management Manual and established a Material Accounting System that can record Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass which will conform to the ASI CoC requirements.
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 from 1 January to 31 December.
8.4 Input Percentage	Conformance	The Entity has implemented a method for calculating and recording the percentage of the CoC Material as defined in the Material Accounting System. At the time of the audit, there were no examples of sourcing and transfer of CoC Material.
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 implemented procedures and processes for its Material Accounting System that defines the Output Quantity determination. At the time of the audit, there were no examples of sourcing and transfer of CoC Material.
8.7 Output Quantity designation	Conformance	The Entity's Material Accounting System procedures and processes designate the Output Quantity as 100% CoC Material. At the time of the audit, there were no examples of sourcing and transfer of CoC Material.



CRITERION	RATING	COMMENT
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity's ASI CoC Management Manual and simulation cases demonstrate each transfer of the eligible Pre-Consumer Scraps is accompanied by a CoC Document. The calculation of the percentage follows the formula defined in the ASI CoC Standard.
8.9 Outputs not exceed Inputs	Conformance	The Entity's Material Accounting System can provide updated information on inventory balance to guarantee the Outputs do not exceed Inputs.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has defined in its Material Accounting System that an Internal Overdraw does not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has established a process in the Material Accounting System to control an Internal Overdraw under a Force Majeure situation.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has established a process in the Material Accounting System to control an Internal Overdraw under a Force Majeure situation.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a process in the Material Accounting System to control Positive Balance (carry over).
8.11b Positive Balance (expiry)	Conformance	The Entity has established a process in the Material Accounting System to control Positive Balance (carry over).
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has implemented a system and an ASI CoC Document template that produces CoC Documents for the shipment and transfer of CoC Material, ensuring these are controlled, issued, and stored. At the time of the audit, there were no examples of sourcing and transfer of CoC Material.
9.2a Date of issue	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the date of issue.
9.2b Reference number	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes a reference number: MAX+CoC + date code + lot number + version number.
9.2c Issuing Entity	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes information about the issuing Entity.

CRITERION	RATING	COMMENT
9.2d Receiving customer	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the details of the receiving customer.
9.2e Responsible employee	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the details of the responsible employee.
9.2f Conformance statement	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the conformance statement.
9.2g Type of CoC Material	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the type of CoC Material.
9.2h Mass of CoC Material	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the mass of CoC Material.
9.2i Mass of total material	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes the mass of total Material.
9.3a Sustainability Data (optional)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes Sustainability Data. The data is based on the Greenhouse Gases (GHG) Emissions calculation report and is available on the Entity's official website.
9.3b Sustainability Data (passing on)	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes Sustainability Data. The data is based on the GHG Emissions calculation report and is available on the Entity's official website.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity can produce and issue a CoC Document for each lot of Material or Product that includes its ASI Certification status.
9.4 Supplementary Information (optional)	Conformance	The Entity has established, implemented, and maintained a Management System for GHG Emissions calculations. The information included in CoC Documents is based on the Outputs of the ASI Performance System Management System.
9.5 Response to verification requests	Conformance	The Entity has defined the responsibilities and the process within the ASI CoC Management Manual to respond to requests for verification of information in CoC Documents issued.
9.6 Error management	Conformance	As part of its Quality Management System, the Entity has implemented a process within the ASI CoC

CRITERION	RATING	COMMENT
		Management Manual to record errors, analyse the root cause, and take the associated corrective action to prevent the reoccurrence.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has implemented a process within the ASI ASI CoC Management Manual to verify the required information in the received CoC Documents.
10.2 Verify consistency with shipments	Conformance	The Entity has implemented the process to verify the required information in the received CoC Documents.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has implemented and developed a process to verify the supplier CoC Certification status.
10.4 Error management	Conformance	The Entity has implemented a process to record errors, analyse the root causes, and take the associated Corrective Actions to prevent the re-occurrence with suppliers.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System - allocation	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.1c No double counting	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.1d No Positive Balance of ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.2a Date of issue	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.
11.2g Quantity	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Market Credits System.

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

## 12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity has established an ASI CoC Management Manual that defines all claims and communications shall follow the ASI Claims Guide including communication with the ASI Secretariat and the relevant roles and responsibilities.
12.1b Verifiable evidence	Conformance	The Entity has appointed the roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide.
12.1c Employee training	Conformance	The Entity has provided relevant training courses on Claims and Communication to relevant employees.

### Document Control and Version History

Revision	Date	Notes
0	19 April 2021	Initial Certification Audit – Full Certification
1	21 June 2022	Revised to reflect updated Entity Name from Anhui Maximum Aluminium Industries Co., Ltd.
2	7 October 2022	Surveillance Audit – Full Certification