

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Gränges Konin SA

CERTIFICATE NUMBER

315

ASI STANDARD

CHAIN OF CUSTODY
STANDARD
(V2 2022)

DATE OF ISSUE

1 JULY 2026

CERTIFICATION LEVEL

FULL
CERTIFICATION

DATE OF EXPIRY

30 JUNE 2029

ASI ACCREDITED
AUDITING FIRM

TÜV RHEINLAND
CERT GMBH

CERTIFIED SINCE

11 OCTOBER 2023

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', with a long horizontal line extending to the right.

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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

Design and manufacture of rolled Aluminium strips and sheets at the Gränges facility located in Konin, Poland.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Gränges
ENTITY NAME	Gränges Konin SA
CERTIFICATION SCOPE	Design and manufacture of rolled Aluminium strips and sheets at the Gränges facility located in Konin, Poland.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (23 – 24 February 2023)Surveillance Audit (12 – 16 May 2025)Re-Certification Audit (14 – 16 May 2026)
AUDIT FIRM	TÜV Rheinland Cert GmbH
AUDIT DATE	<ul style="list-style-type: none">23 – 24 February 2023 (Initial Certification Audit)12 – 16 May 2025 (Surveillance Audit)14 – 16 May 2026 (Re-Certification Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">1 August 2023 (Initial Certification Audit)11 June 2025 (Surveillance Audit)1 June 2026 (Re-Certification Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (23 – 24 February 2023)</u></p> <p>The Audit Scope included the design and manufacture of rolled Aluminium strips and sheets at the Gränges facility located in Konin, Poland.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse <p>All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit (12 – 16 May 2025)</u></p> <p>The Audit Scope included the design and manufacture of rolled Aluminium strips and sheets at the Gränges facility located in Konin, Poland.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/Refining

- Casthouses
- Post-Casthouse

All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.

Re-Certification Audit (14 – 16 May 2026)

The Audit Scope included the design and manufacture of rolled Aluminium strips and sheets at the Gränges facility located in Konin, Poland.

Supply chain activities included in the Audit Scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.

AUDIT OUTCOME	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	1 July 2026 – 30 June 2029
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	30 June 2029
CERTIFICATE NUMBER	315



If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

ENTITY OVERVIEW

Gränges Konin S.A (the 'Entity') has been in operation for over 50 years with production commencing in 1966 with both primary smelting and rolling operations as a State-owned enterprise. The Entity, which currently employs over 700 personnel, was privatised in 1995 and in 2008 it was merged with Impex Metal. The primary smelter was closed in 2009 due to high energy prices, but the Aluminium rolling mill continued operations. In 2020, Gränges AB. acquired the rolling mill and remelting Facility.

In 2021 and 2022, the Entity invested in additional Casting capacity, an additional cold rolling mill as well as annealing furnaces and a new thick gauge slitter. Capacity has been increased from 100,000 tonnes to 140,000 tonnes by these investments. The majority of the Entity's Products are used in the automotive, packaging, electrical engineering, and construction industries.

MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of Systems, Residual Risk and Performance.

Maturity ratings are not a direct assessment of conformance to the Standard.

OVERALL	
SYSTEMS	High
RISKS	Medium
PERFORMANCE	High
OVERALL	HIGH

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is an ASI Member since 2019 in the Production and Transformation class: https://aluminium-stewardship.org/about-asi/asi-members/granges
1.2 CoC Management System	Conformance	The Entity has established a common procedure for the Chain of Custody (CoC) Management System for all sites that covers all relevant requirements. Overall, the Entity has implemented a Management System that addresses all applicable requirements of the ASI Chain of Custody Standard.
1.3 CoC Management System Monitoring	Conformance	The design of the Management System provides for an annual periodic review. Annual internal audits of the Management System are in place.
1.4 Management Representative	Conformance	The Entity has nominated an Integrated Management System Representative to have overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has prepared and conducted a Chain of Custody Standard specific training for relevant personnel and has communicated CoC related information to all employees.
1.6 Records Management	Conformance	The Entity has established systems to maintain up to date records covering all applicable requirements of the ASI Chain of Custody Standard. These records will be retained for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity reports all required information to the ASI Secretariat using the appropriate ASI reporting form, including Inputs and Outputs of CoC Material. The Entity has provided CoC reports to ASI for the 2023 – 2024 reporting periods. The corresponding report for 2025 is being prepared for submission by 30 June 2026.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity reports all required information to the ASI Secretariat using the appropriate ASI reporting form, including Inputs and Outputs of Eligible Scrap. The Entity has provided CoC reports to ASI for the 2023 – 2024 reporting periods. The corresponding report for 2025 is being prepared for submission by 30 June 2026.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity reports all required information to the ASI Secretariat using the appropriate ASI reporting form, including Inflows and Outflows of Non-CoC Material. The Entity has provided CoC reports to ASI for the 2023 – 2024 reporting periods. The corresponding report for 2025 is being prepared for submission by 30 June 2026.
1.7d Reporting to ASI (Positive Balance carried)	Conformance	The Entity reports all required information to the ASI Secretariat using the appropriate ASI reporting form, including the Positive Balance

CRITERION	RATING	COMMENT
over)		carried over. The Entity has provided CoC reports to ASI for the 2023 – 2024 reporting periods. The corresponding report for 2025 is being prepared for submission by 30 June 2026.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity reports all required information to the ASI Secretariat using the appropriate ASI reporting form, which included a report that no Positive Balance was used. The Entity has provided CoC reports to ASI for the 2023 – 2024 reporting periods. The corresponding report for 2025 is being prepared for submission by 30 June 2026.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity reports all required information to the ASI Secretariat using the appropriate ASI reporting form, with a confirmation that no Internal Overdraw occurred in the current reporting period. The Entity has provided CoC reports to ASI for the 2023 – 2024 reporting periods. The corresponding report for 2025 is being prepared for submission by 30 June 2026.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity reports all required information to the ASI Secretariat using the appropriate ASI reporting form, with a confirmation that no CoC Materials have been transferred between supply chain activities in the current or recent reporting periods. The Entity has provided CoC reports to ASI for the 2023 – 2024 reporting periods. The corresponding report for 2025 is being prepared for submission by 30 June 2026.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity as they do not use Outsourcing Contractors for CoC Material.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity as they do not use Outsourcing Contractors for CoC Material.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity as they do not use Outsourcing Contractors for CoC Material.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity as they do not use Outsourcing Contractors for CoC Material.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity as they do not use Outsourcing Contractors for CoC Material.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable to the Entity as they do not use Outsourcing Contractors for CoC Material.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity as they do not use Outsourcing Contractors for CoC Material.

3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM

CRITERION	RATING	COMMENT
3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP

4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	<p>The Entity has established systems to ensure that it is producing ASI Aluminium only from an Entity/Facility already Certified against the ASI Performance Standard and ASI Chain of Custody Standard.</p> <p>The Entity has established procedures and processes to verify Pre-Consumer Scrap as designated CoC Material. Internally generated Scrap will be re-fed into the production. Dross is sold for external recycling.</p>
4.1b Recycled Aluminium (Performance Standard)	Conformance	<p>The Entity has established systems to ensure that it is producing ASI Aluminium only from an Entity/Facility already Certified against the ASI Performance Standard and ASI Chain of Custody Standard.</p> <p>The Entity is committed to responsible sourcing and upholding high standards across its supply chain. All suppliers of Post-Consumer Scrap are subject to a defined scope and Due Diligence assessment. Each incoming shipment is verified for origin and material type (Pre- or Post-Consumer) to ensure traceability and compliance.</p> <p>As part of its continuous improvement efforts, the Entity conducted a comprehensive Supplier Evaluation Summary for 2025, assessing key performance indicators including delivery reliability, quality claims, operational disruptions, special transport charges and compliance with the Code of Conduct. The evaluation also included the certification status of various standards (i.e. IATF 16949, ISO 9001 and ISO 14001), sustainability performance and alignment with the ASI Chain of Custody and Performance Standards.</p>

CRITERION	RATING	COMMENT
4.2a Eligible Scrap (Pre-Consumer)	Conformance	<p>The Entity has implemented a documented process to gather and verify information on its Scrap suppliers, including their identity, principles and place(s) of operation of the suppliers. All suppliers are subject to the Entity's supplier Due Diligence assessment process.</p> <p>The Entity has established its requirements for classification of Pre-Consumer Scrap as Eligible Scrap in an internal procedure. The procedure defines that Pre-Consumer Scrap is considered eligible only under strictly defined conditions, namely, it must originate from an ASI CoC Certified supplier and be accompanied by valid CoC Documentation, or it must be fully traceable within a Closed Loop recycling system linked to a CoC Certified Entity and supported by documented Due Diligence, and if the Due Diligence assessment confirmed an acceptable risk level.</p>
4.2b Eligible Scrap (Post-Consumer)	Conformance	<p>The Entity has established procedures and processes to verify the nature of the supplied Scrap (Pre- or Post-Consumer).</p> <p>Post-Consumer Scrap is only accounted for as Eligible Scrap if the Due Diligence assessment confirmed an acceptable risk level and the material is 'Post-Consumer'.</p>
4.2c Eligible Scrap (Dross)	Conformance	<p>The Entity in accordance with its Responsible Sourcing Policy registers qualified Scrap in its Material Accounting System only when Aluminium is recovered from Dross or other Aluminium-containing waste is subject to supplier Due Diligence.</p>
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	<p>The Entity has implemented a documented process to gather and verify information about its Scrap suppliers, including their identity, principles and place(s) of operation of the suppliers.</p>
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	<p>According to the management statement included in the Entity's Code of Conduct, the Entity does not purchase any Aluminium (Scrap or Primary) in cash. All transactions are undertaken via bank transfer.</p>
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	<p>The Entity has implemented systems to ensure that ASI Aluminium used for Casthouse Products is produced only from Casthouses that are within the Entity's ASI Chain of Custody Certification Scope.</p>
5.1b ASI Aluminium (Performance Standard)	Conformance	<p>The Entity's Casthouse operations in Konin are Certified against the ASI Performance Standard.</p>
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	<p>Control procedures and systems have been established to ensure that Primary Aluminium is only sourced from ASI Certified Entities, or via a Trader, where the ASI CoC Certified Entity that is the source of the ASI Aluminium can be identified and can provide a verified CoC Document.</p>
5.2 Unique Identification	Conformance	<p>The Entity's Material Accounting System demonstrates that systems are in place to ensure that unique identification numbers, with physical ID stamped on ASI Aluminium slabs, can be linked to the Input Quantity of CoC Material for the specific Material Accounting Period.</p>

CRITERION	RATING	COMMENT
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established systems to ensure that it is producing ASI Aluminium only from an Entity/Facility already Certified against the ASI Performance Standard and ASI Chain of Custody Standard. Control procedures and systems have been established to ensure that Post-Casthouse ASI Aluminium is produced using metal sourced only from ASI Certified Entities.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has established systems to ensure that it is producing ASI Aluminium only from an Entity/Facility already Certified against the ASI Performance Standard and ASI Chain of Custody Standard. Control procedures and systems have been established to ensure that Post-Casthouse ASI Aluminium is produced using metal sourced only from ASI Certified Entities.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established systems to ensure that it is producing ASI Aluminium only from an Entity/Facility that sources ASI Aluminium directly from another ASI Chain of Custody Certified Entity, or via a metals Trader or warehouse where the ASI Chain of Custody Certified Entity can supply or verify the associated CoC Document containing required Information.
7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has developed and implemented a Code of Conduct which includes anti-Corruption measures, an Anti-Corruption Policy, a Supplier Code of Conduct and a Global Responsible Sourcing Policy. The Policies and procedures for responsible sourcing are available at: https://www.granges.com/sustainability/documents/policies/
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has developed and implemented a Supplier Code of Conduct which establishes a framework for compliance in the scope of Human Rights and working conditions including but not limited to Forced Labour, Freedom of Association, working hours, wages etc. The Code is based on the UN Guiding Principles and ILO fundamental conventions. The Policies and procedures for responsible sourcing are available at: https://www.granges.com/sustainability/documents/policies/
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has established processes to assess risks for Human Rights in the supply chain, including the Supplier Code of Conduct. Details on these processes are available at: https://www.granges.com/sustainability/documents/policies/ This Due Diligence process is managed by a responsible person within the Entity's parent company. Through legal obligations communicated in an annex to supplier contracts, suppliers are made aware of the Entity's expectations regarding Human Rights.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a risk assessment process to assess potential risks for Human Rights in Conflict-Affected and High-Risk Areas (CAHRAs). Due Diligence assessments of its supply chain were undertaken by the Entity in accordance with the principles established in its Responsible Sourcing Policy – 'Sustainability Risk Screening'. The Policies and procedures for responsible sourcing are available at:

CRITERION	RATING	COMMENT
		https://www.granges.com/sustainability/documents/policies/
7.2 Risk Assessment and Mitigation	Conformance	The Entity's parent company manages the risk assessment process regarding Human Rights in the supply chain. The process is well structured, with input from individual entities. By assessing the entire supply chain, the Entity can actively assess potential risks. Through management interviews it was clear that the training and awareness provided were effective as they were able to explain the significance of this process.
7.3 Complaints Resolution Mechanism	Minor Non-Conformance	The Entity has established processes for Stakeholders, including suppliers, to report grievances. The link for Stakeholders to report grievances is available at: https://granges.trumpet-whistleblowing.eu However, this link has not been included in the information provided to suppliers via the Suppliers Code of Conduct, which has been identified as a gap in the communication of the Grievance Mechanism. The absence of clear reference to the whistleblower reporting platform in supplier-facing documentation may limit the effectiveness of reporting potential violations and reduce transparency within the system.

8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity's Management System includes a Material Accounting System that records the Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass. The Material Accounting System is based on the Entity's Enterprise Resource Planning (ERP) system.
8.2 Material Accounting Period	Conformance	The Entity has specified in writing that the Material Accounting Period in the Entity's Material Accounting System is 12 months.
8.3 Input and Inflow Quantities	Conformance	The Entity calculates and records the quantities of each CoC Material and Eligible Scrap and the quantities of Non-CoC Material.
8.4 Output Quantities of CoC Material	Conformance	The Entity uses the Input Percentage for the 12-month Material Accounting Period to determine the Output Quantity of CoC Material, by mass for that Period.
8.5 Indivisibility of CoC Material	Conformance	As prescribed in the Entity's CoC procedure, the Entity has established that the Output Quantity of COC Material is designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	For Pre-Consumer Scrap produced by the Entity, the Input Percentage for the Material Accounting Period is used to determine the Output Quantity of Eligible Scrap.
8.7 Consistency Between Input Percentage and Total Output	Conformance	As one of the main principles of the Mass Balance System, the Entity prescribes that the Outputs of CoC Material and/or Eligible Scrap must be proportional to the Inputs of CoC Material and/or Eligible Scrap.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's Material Accounting System is designed to ensure the Internal Overdraw must be replenishable in the next Material Accounting Period and cannot exceed 20% of total CoC Material Input

CRITERION	RATING	COMMENT
		for the current Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's Material Accounting System is designed to ensure the Internal Overdraw will not exceed the amount of CoC Material affected by any Force Majeure situation.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's Material Accounting System is designed to ensure that any Internal Overdraw will be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity's Material Accounting System is designed to ensure any carry over of a Positive Balance is identified.
8.9b Positive Balance (Expiry)	Conformance	The Entity's Material Accounting System is designed to ensure that any Positive Balance of Output CoC Material at the end of the Material Accounting Period will be carried over to the subsequent period and that such carry over will expire at the end of that period if not drawn down.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities, where the receiving Entity has requested delivery of material that is defined as CoC Material. As at the date of the Audit, the Entity had not shipped any CoC Material.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes a reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the identity, address and CoC Certification number of the Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the identity, address and CoC Certification number of the receiving Entity.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the name of the responsible employee.
9.2f CoC Document	Conformance	The Entity ensures that a CoC Document accompanies each

CRITERION	RATING	COMMENT
Content (Conformance statement)		shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes a statement confirming that "The information provided in the CoC Document is in conformance with the ASI Chain of Custody Standard."
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The design of the CoC Documents includes the mass of total Material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity includes Supplementary Information in its CoC Documents as optional information as per customer request.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity includes Supplementary Information in its CoC Documents as optional information as per customer request.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity includes Supplementary Information in its CoC Documents as optional information as per customer request.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity has decided to provide information about its ASI Certification Status for the ASI Performance Standard on its CoC Documents as optional information per customer request.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity includes Supplementary Information in its CoC Documents as optional information.
9.5 Verification of Information	Conformance	The Entity has prepared a provision relating to responding to requests related to CoC Documents contained in the ASI management procedure.
9.6 Error (Shipping)	Conformance	The Entity has defined in its ASI management procedure the way in which errors regarding CoC shipments must be handled. The procedures include the documentation of the error, root cause analysis, communication, and improvement actions to avoid recurrence.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC	Conformance	The Entity has defined in the ASI Management Procedure the process

CRITERION	RATING	COMMENT
Documents		to verify the received CoC Documents. Review of received CoC Documents during the Audit confirmed that the required information is included.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has defined in the ASI Management procedure the process to verify the consistency between CoC Documents and CoC Material received. Review of received CoC Documents during the Audit confirmed that the Entity verifies this consistency.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has defined in the ASI Management procedure the process to verify the supplier CoC Certification Status.
10.4 Error (Reception)	Conformance	The Entity has developed verification steps to review the consistency of received CoC Documents. The Entity has further defined procedures to address situations where an error is identified after CoC Material or Eligible Scrap has already been received. These procedures ensure that any identified error is formally documented and addressed in cooperation with the supplying party.
11. CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has implemented a procedure for claims related to CoC Material consistent with the ASI Claims Guide. As there have been no claims regarding CoC Material to date, the effectiveness of the procedure will be assessed at the next Surveillance Audit.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has developed procedures and processes to ensure that claims about CoC Material outside of CoC Documents are made in a form consistent with the ASI Claims Guide. The Entity has established procedures to ensure that it keeps verifiable evidence to support the claims and/or representations made.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has developed and implemented plans for training employees on the provisions of the ASI Chain of Custody Standard. The Entity provided documented evidence that relevant personnel have received training on CoC claims.

ASI LIMITATION OF LIABILITY DISCLAIMER

Organisations that make ASI-related claims are each responsible for their own compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that compliance with an ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI will result in compliance with any Applicable law, or will avoid any Breach from occurring.

DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	11 October 2023	Certification Audit - Full Certification
1	14 July 2025	Surveillance Audit
2	1 July 2026	Re-Certification Audit - Full Certification
