

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# SIG COMBIBLOC

CERTIFICATE  
NUMBER

8

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

DNV GL

DATE OF ISSUE

12 OCTOBER 2018

DATE OF EXPIRY

11 OCTOBER 2021

CERTIFIED SINCE

12 OCTOBER 2018

AUTHORISED BY

A handwritten signature in white ink, appearing to be 'J. H.', 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](http://www.aluminium-stewardship.org)*

CERTIFICATION SCOPE

SIG Combibloc including Head Office (Department Corporate Responsibility, Linnich, Germany), the centralised Procurement Organisation (Procurement AG, Neuhausen, Switzerland) and the production sites in Saalfelden (Austria), Wittenberg (Germany) and Linnich (Germany), Rayong (Thailand), Suzhou (China) and Curitiba (Brazil).

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	SIG Combibloc
ENTITY NAME	SIG Combibloc
CERTIFICATION SCOPE	SIG Combibloc including Head Office (Department Corporate Responsibility, Linnich, Germany), the centralised Procurement Organisation (Procurement AG, Neuhausen, Switzerland) and the production sites in Saalfelden (Austria), Wittenberg (Germany) and Linnich (Germany), Rayong (Thailand), Suzhou (China) and Curitiba (Brazil).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><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</li><li>• Surveillance Audit . 1<sup>st</sup> Scope Change</li><li>• Surveillance Audit . 2<sup>nd</sup> Scope Change</li><li>• Surveillance Audit . 3<sup>rd</sup> Scope Change</li></ul>
AUDIT FIRM	DNV GL
AUDIT DATE	<ul style="list-style-type: none"><li>• 23 August and 17 September 2018 (Initial Certification Audit)</li><li>• 5-6 March 2019 (Surveillance Audit . 1<sup>st</sup> Scope Change)</li><li>• 20-21 January 2020 (Surveillance Audit . 2<sup>nd</sup> Scope Change)</li><li>• 26-27 March 2020 (Surveillance Audit . 3<sup>rd</sup> Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 28 September 2018 (Initial Certification Audit)</li><li>• 13 March 2019 (Surveillance Audit . 1<sup>st</sup> Scope Change)</li><li>• 14 February 2020 (Surveillance Audit . 2<sup>nd</sup> Scope Change)</li><li>• 26 May 2020 (Surveillance Audit . 3<sup>rd</sup> Scope Change)</li></ul>
AUDIT SCOPE	<p>The audit scope included the expansion of existing SIG ASI COC certificate scope (Head Office - Department Corporate Responsibility, Linnich, Germany, the Procurement Organisation - Procurement AG, Neuhausen, CH - the production sites in Saalfelden, Austria; Linnich and Wittenberg, Germany, Rayong (Thailand), and Suzhou (China)), with the production site in Curitiba, Brazil.</p> <p>Supply chain activities included in the audit scope:</p>

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- Post-casthouse

Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.

At the time of the audit, access to the site was not possible, due to COVID-19 related travel restrictions. The audit has been undertaken as a desktop exercise, in accordance with the ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation..

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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

12 October 2018 . 11 October 2021

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NEXT AUDIT  
TYPE

Surveillance Audit

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NEXT AUDIT  
DUE DATE

11 April 2021

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CERTIFICATE  
NUMBER

8

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	SIG Combibloc holds an ASI Membership in the Industrial User category. The Entity's ASI membership information is available on ASI website. <a href="https://aluminium-stewardship.org/about-asi/asi-members/sig-combibloc/">https://aluminium-stewardship.org/about-asi/asi-members/sig-combibloc/</a>
1.2 Management system	Conformance	The Entity has created a management system for handling ASI-material and use of ASI logo. A standard operating procedure is developed. The procedure describes in the detail SIG management system, responsibilities, functions, processes and workflows, documentation and record retention and handling of non-conforming product deliveries. A Responsibility Matrix (RACI) has been developed addressing different task related to the management of the ASI CoC Standard implementation connected with the roles/functions in the organization. The management system has been adopted at SIG Combibloc Sonzhou, Rayong and SIG Combibloc Curitiba Site.
1.3 Management system reviews	Conformance	The Entity has established policies, systems, procedures and processes to comply with ASI CoC criteria regarding the periodic review of the management system and associated updates as required.
1.4 Management representative	Conformance	The Entity has appointed a member of management as the responsible person for ASI CoC Standard implementation and defined a chart of responsibilities for different tasks through the organization. Local level persons for the implementation of the Chain of Custody Standard at the site level have been defined.
1.5 Training	Conformance	The Entity has developed and implemented communications and training measures that make relevant personnel aware of and competent in their responsibilities under the CoC Standard. The Entity has developed and maintains communication measures to keep all personnel updated about their roles and responsibilities, as well as provides adequate training for them to carry out these tasks. Evidenced of training conducted ongoing planned training was sighted during the site-level audits at Sonzhou, Rayong Facilities and Curitiba Site.

CRITERION	RATING	COMMENT
1.6 Record keeping	Conformance	The Entity maintains up-to-date records covering all applicable requirements of the CoC Standard. The Entity's standard operating procedure defines the retention time as required by the ASI CoC Standard. The Entity has adequate record management practices.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory file for management and calculations, including an ASI volume control table. The Entity has demonstrated that the volume control table describes the different management tasks and also the requirement for input and output of Material CoC, and undertakes to report to the ASI within 3 months after the end of each calendar year.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory for management and calculations, including an ASI volume control table. The Entity has demonstrated that the volume control table describes the different management tasks and also the percentage requirement of input of CoC Material for the calendar year and undertakes to report to the ASI within 3 months after the end of each calendar year.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory for management and calculations, including an ASI volume control table. The Entity has demonstrated that the volume control table describes the different management tasks and also the requirement to demonstrate the maximum positive balance in the calendar year, which can be transferred to the subsequent period and commits to report to the ASI, within 3 months after the end of each calendar year.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory for management and calculations, including an ASI volume control table. The Entity has demonstrated that the volume control table describes the different management tasks and also the requirement to demonstrate the maximum overdraw and undertakes to report to the ASI within 3 months after the end of each calendar year.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	This criterion is currently not applicable, as the Entity does not intend to use ASI Credits within their CoC

CRITERION	RATING	COMMENT
		certification scope. There is no casthouse operation in this Entity.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This criterion is currently not applicable, as the Entity does not intend to use ASI Credits within their CoC certification scope.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This criterion is currently not applicable, as the Entity does not intend to use ASI Credits within their CoC certification scope. There is no casthouse operation in this Entity.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This criterion is currently not applicable, as the Entity does not include outsourcing contractors within their CoC certification scope.
2.2a Control of CoC Material	Not Applicable	This criterion is currently not applicable, as the Entity does not include outsourcing contractors within their CoC certification scope.
2.2b No further outsourcing	Not Applicable	This criterion is currently not applicable, as the Entity does not include outsourcing contractors within their CoC certification scope.
2.2c Risk assessment	Not Applicable	This criterion is currently not applicable, as the Entity does not include outsourcing contractors within their CoC certification scope.
2.3 Output Quantity	Not Applicable	This criterion is currently not applicable, as the Entity does not include outsourcing contractors within their CoC certification scope.
2.4 Verification and record-keeping	Not Applicable	This criterion is currently not applicable, as the Entity does not include outsourcing contractors within their CoC certification scope.
2.5 Error management	Not Applicable	This criterion is currently not applicable, as the Entity does not include outsourcing contractors within their CoC certification scope.
<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.

CRITERION	RATING	COMMENT
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.
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	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Performance Standard . Casthouses	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
5.2 Casthouse Products	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope . Post-Casthouse	Conformance	The Entity operating procedures and strategic cooperation with ASI certified suppliers will secure the supply and production of ASI CoC materials.
6.1b ASI Performance Standard . Post-Casthouse	Conformance	The Entity SIG Combibloc Group obtained an ASI Performance Standard certificate which covers its global operations: <a href="https://aluminium-stewardship.org/wp-content/uploads/2018/10/ASI-Summary-Audit-Report-SIG-Combibloc-PS-7.pdf">https://aluminium-stewardship.org/wp-content/uploads/2018/10/ASI-Summary-Audit-Report-SIG-Combibloc-PS-7.pdf</a> . The Entity SIG Combibloc is in the class of association of industrial users. SIG Combibloc has an ASI association and the registration was consulted through the ASI website:

CRITERION	RATING	COMMENT
		<p><a href="https://aluminium-stewardship.org/about-asi/asi-members/sig-combibloc/">https://aluminium-stewardship.org/about-asi/asi-members/sig-combibloc/</a></p> <p>Furthermore, the Entity's operating procedures and strategic cooperation with ASI certified suppliers will secure the supply and production of ASI CoC materials. The SIG Combibloc AG (SIG Group) is certified against the ASI PS &amp; CoC which fulfils the CoC Standard criteria.</p> <p><a href="https://aluminium-stewardship.org/about-asi/asi-members/sig-combibloc/">https://aluminium-stewardship.org/about-asi/asi-members/sig-combibloc/</a></p>
6.1c Sourcing ASI Aluminium	Conformance	The Entity demonstrates the elaboration of procedures and workflows to guarantee the strategy of purchasing and inspecting suppliers of Materials from suppliers certified by ASI.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	<p>The Entity has developed a responsible sourcing policy covering all aspects of the ASI CoC and applicable ASI Performance Standard criteria. Furthermore, SIG Combibloc have implemented different schemes addressing responsible sourcing, which includes SEDEX / SMETA and Ecovadis. Please see SIG Business Ethics Conduct for Suppliers, paragraph 1. Ethical business commitment and fair competition, available at: <a href="https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf">https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf</a></p>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	<p>The Entity has developed a responsible sourcing policy covering all aspects of the ASI CoC and applicable ASI Performance Standard criteria. Furthermore, SIG Combibloc have implemented different schemes addressing responsible sourcing, which includes SEDEX / SMETA and Ecovadis. Please see SIG Business Ethics Conduct for Suppliers, paragraph 1. Ethical business commitment and fair competition, available at: <a href="https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf">https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf</a> .</p>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	<p>The Entity has developed a responsible sourcing policy covering all aspects of the ASI CoC and applicable ASI Performance Standard criteria. Furthermore, SIG Combibloc have implemented different schemes addressing responsible sourcing, which includes SEDEX / SMETA and Ecovadis. Please see SIG Business Ethics Conduct for Suppliers, paragraph 1. Ethical business commitment and fair competition, available at: <a href="https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf">https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf</a> .</p>



CRITERION	RATING	COMMENT
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has developed a responsible sourcing policy covering all aspects of the ASI CoC and applicable ASI Performance Standard criteria. Furthermore, SIG Combibloc have implemented different schemes addressing responsible sourcing, which includes SEDEX / SMETA and Ecovadis. Please see SIG Business Ethics Conduct for Suppliers, paragraph 1. Ethical business commitment and fair competition, available at: <a href="https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf">https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf</a>
7.2 Risk assessment	Conformance	The Entity runs a risk oriented, documented, due diligence process for its suppliers as The risk assessment about anti-corruption to suppliers of Non-CoC Material and Recyclable Scrap Material are included. The Entity's Responsible Sourcing Directive, describes how the Entity is performing a risk screening of their suppliers. Aluminium suppliers are identified as significant suppliers and become part of a program for continuous reviews of performance. The Entity is also conducting an EcoVadis assessment and Sedex / SMETA audits within its supply chain. Further information is available on the Entity's supply chain engagement program in their annual sustainability report: <a href="https://www.sig.biz/en/responsibility/responsible-company">https://www.sig.biz/en/responsibility/responsible-company</a>
7.3 Complaints mechanism	Conformance	The Entity has a documented complaint procedure and processes to address complaints and concerns related to ASI. The Email account established: <a href="mailto:asi@sig.biz">asi@sig.biz</a>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The material accounting system is based in the Entity's enterprise-resource-planning system. The management system includes a material accounting system that records 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.

CRITERION	RATING	COMMENT
8.3 Material Accounting Period	Conformance	The Entity will use a 12 month rolling period, as their accounting period. This is clearly stated in the Volume Accounting Table that has been developed for the ASI CoC Standard.
8.4 Input Percentage	Conformance	The Entity has established a Material Accounting system in compliance with ASI CoC requirements.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Not Applicable	This criterion is not applicable to the Entity's Certification Scope.
8.6 Output Quantity determination	Conformance	The Entity has demonstrated that it will use the mass balance calculation approach developed in an inventory file for management and calculations, including an ASI volume control table. The Entity has demonstrated that the volume control table describes the different management tasks and also the requirement for output of Material CoC.
8.7 Output Quantity designation	Conformance	The Entity has demonstrated that it will use the mass balance calculation approach developed in an inventory file for management and calculations, including an ASI volume control table. Entity output quantity is designated as 100% CoC material as per Material Account System procedures and processes.
8.8 Output Quantity . Pre-Consumer Scrap	Not Applicable	This criterion is therefore not applicable, the Entity does not intend to produce Pre-Consumer Scrap within their CoC certification scope.
8.9 Outputs not exceed inputs	Conformance	The Entity has demonstrated that it will use the mass balance calculation approach developed in an inventory file for management and calculations, including an ASI volume control table, the system was developed to have monthly updated information on the stock balance, accordingly with the chain of custody ASI standard requirement.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory for management and calculations, including an ASI volume control table. The Entity has demonstrated that the volume control table describes the different management tasks and also the requirement to demonstrate the maximum overdraw. The Entity In-Scope Facilities have established internal controls to ensure the Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material. The effectiveness of these measures will be tested at the surveillance audit.

CRITERION	RATING	COMMENT
8.10b Internal Overdraws (not exceed affected amount)	Conformance	<p>The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory for management and calculations, including an ASI volume control table.</p> <p>The Entity has demonstrated that the volume control table describes the different management tasks and also the requirement to demonstrate the maximum overdraw</p> <p>The Entity In-Scope Facilities have established internal controls to ensure the Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material. The effectiveness of these measures will be tested at the surveillance audit.</p>
8.10c Internal Overdraws (period to make up)	Conformance	<p>The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory for management and calculations, including an ASI volume control table.</p> <p>The Entity has established a Material Accounting system in compliance with ASI Chain of Custody Standard requirements.</p>
8.11a Positive Balance (carry over)	Conformance	<p>The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory for management and calculations, including an ASI volume control table.</p> <p>The Entity has established a Material Accounting system in compliance with ASI Chain of Custody Standard requirements.</p>
8.11b Positive Balance (expiry)	Conformance	<p>The Entity has demonstrated that it will use the mass balance calculation approach it developed in an inventory for management and calculations, including an ASI volume control table.</p> <p>The Entity has established a Material Accounting system in compliance with ASI Chain of Custody Standard requirements.</p>
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	<p>The Entity has established a checklist for procurement and order centre, making sure that CoC documents are controlled, issued and stored.</p>
9.2a Date of issue	Conformance	<p>The Entity has evidenced a system that can produce CoC documents with an issue date, reference number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.</p>
9.2b Reference number	Conformance	<p>The Entity has evidenced a system that can produce CoC documents with an issue date, reference</p>

CRITERION	RATING	COMMENT
		number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.
9.2c Issuing Entity	Conformance	The Entity has evidenced a system that can produce CoC documents with an issue date, reference number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.
9.2d Receiving customer	Conformance	The Entity has evidenced a system that can produce CoC documents with an issue date, reference number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.
9.2e Responsible employee	Conformance	The Entity has evidenced a system that can produce CoC documents with an issue date, reference number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.
9.2f Conformance statement	Conformance	The Entity has evidenced a system that can produce CoC documents with an issue date, reference number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.
9.2g Type of CoC Material	Conformance	The Entity has evidenced a system that can produce CoC documents with an issue date, reference number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.
9.2h Mass of CoC Material	Conformance	The Entity has evidenced a system that can produce CoC documents with an issue date, reference number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.
9.2i Mass of total material	Conformance	The Entity has evidenced a system that can produce CoC documents with an issue date, reference number, Issuing Entity, customer, responsible employee, declaration of conformity, the type of CoC material, the mass of the CoC material and the mass of the total material.

CRITERION	RATING	COMMENT
9.3a Sustainability Data (optional)	Not Applicable	The Entity opted not to include Sustainability Data. The Entity is utilising finished aluminium foil.
9.3b Sustainability Data (passing on)	Not Applicable	The Entity does not engaged in Aluminium Smelting, and/or Aluminium Re-Melting/Refining, and/or operating a Casthouse within their CoC certification scope.
9.3c Post-Casthouse ASI Certification status	Not Applicable	This criterion is therefore not applicable, as The Entity does not engaged in Aluminium Smelting, and/or Aluminium Re-Melting/Refining, and/or operating a Casthouse within their CoC certification scope.
9.4 Supplementary Information (optional)	Not Applicable	This criterion is therefore not applicable, as The Entity does not intended within their CoC certification scope.
9.5 Response to verification requests	Conformance	The Entity has a documented complaint procedure and processes to address complaints and concerns related to ASI. The Entity has established the contact email: <a href="mailto:asi@sig.biz">asi@sig.biz</a>
9.6 Error management	Conformance	The Entity has implemented a procedure for managing its CoC documents as required by the ASI Chain of Custody Standard and a management system of potential errors.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has implemented a procedure with verification steps to review the completeness of received CoC documents as required by the ASI Chain of Custody Standard.
10.2 Verify consistency with shipments	Conformance	The Entity has established processes to ensure that CoC documents are controlled, issued and stored which is conformant to ASI CoC requirements.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has implemented a procedure with verification steps to review the supplier CoC Certification status of received CoC documents as required by the ASI Chain of Custody Standard.
10.4 Error management	Conformance	The Entity has implemented a procedure to review received CoC documents as required by the ASI Chain of Custody Standard and a management system of potential errors.

CRITERION	RATING	COMMENT
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System . allocation	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.1b Link to Casthouse Products	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.1c No double counting	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.1d No Positive Balance for ASI Credits	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.2a Date of issue	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.2b Reference number	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.2c Issuing Entity	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.2d Receiving Entity	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.2e Conformance statement	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.2f ASI Credits statement	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.2g Quantity	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.3a CoC Certification Scope . purchasing ASI Credits	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.3b Material Accounting System . purchasing	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.

CRITERION	RATING	COMMENT
11.3c Expiry	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.3d No re-trading	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.3e No allocation to physical products	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.3f Verify supplier CoC Certification status	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This criterion is therefore not applicable, as The Entity does not intend to use ASI Credits within their CoC certification scope.

## 12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity has developed policies, systems, procedures and processes to ensure that claims and/or representations about CoC Material outside of CoC Documents are made in a manner and form consistent with the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity operation procedures and the training of key personnel will ensure the correct use of ASI claims.
12.1c Employee training	Conformance	The Entity operation procedures and the training of key personnel will ensure the correct use of ASI claims.

### **Document Control and Version History**

Revision	Date	Notes
0	12 October 2018	Issued
1	28 March 2019	Updated for Certification Scope change (addition of Wittenberg and Linnich sites).
2	27 February 2020	Updated for Certification Scope change (addition of Rayong (Thailand) and Suzhou (China)).
3	29 May 2020	Updated for Certification Scope change (addition of Curtiba (Brazil)).