

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# TIANJIN ZHONGWANG ALUMINIUM CO.,LTD

CERTIFICATE  
NUMBER

84

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

TÜV  
RHEINLAND  
CERT GMBH

DATE OF ISSUE

7 JULY 2020

DATE OF EXPIRY

6 JULY 2023

CERTIFIED SINCE

7 JULY 2020

AUTHORISED BY

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

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-<br/>stewardship.org)*

CERTIFICATION SCOPE

Production of aluminium and aluminium alloy casting ingot, sheets and strip products (including automotive aluminium alloy materials, aerospace aluminium alloy materials, tank body and lid gripper).

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

MEMBER NAME	Tianjin Zhongwang Aluminium Co.,Ltd
ENTITY NAME	Tianjin Zhongwang Aluminium Co.,Ltd
CERTIFICATION SCOPE	Production of aluminium and aluminium alloy casting ingot, sheets and strip products (including automotive aluminium alloy materials, aerospace aluminium alloy materials, tank body and lid gripper).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><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>First Certification Audit</li></ul>
AUDIT FIRM	TÜV Rheinland Cert GmbH
AUDIT DATE	12 . 14 May 2020
AUDIT REPORT SUBMISSION	22 June 2020
AUDIT SCOPE	<p>The audit scope included the following:</p> <ol style="list-style-type: none"><li>Production of aluminium and aluminium alloy casting ingot, sheets and strip products (including automotive aluminium alloy materials, aerospace aluminium alloy materials, tank body and lid gripper).</li><li>The whole area of Tianjin Zhongwang Aluminium Co.,Ltd. except medium/thick plate workshop 1 and phase III/IV (both under construction).</li></ol> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse (including semi-fabrication and material conversion)</li></ul> <p>All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none"><li>Certification</li></ul>

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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

7 July 2020 . 6 July 2023

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NEXT AUDIT  
TYPE

Surveillance audit

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NEXT AUDIT  
DUE DATE

6 January 2021

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CERTIFICATE  
NUMBER

84

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	Tianjin Zhongwang Aluminium Co.,Ltd. is an ASI Member committed to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category and holds certification for the ASI Performance Standard as well. ( <a href="https://aluminium-stewardship.org/about-asi/asi-members/tianjin-zhongwang-aluminium-co-ltd/">https://aluminium-stewardship.org/about-asi/asi-members/tianjin-zhongwang-aluminium-co-ltd/</a> )
1.2 Management system	Conformance	The Entity has a Management System that addresses all applicable requirements of the CoC Standard, in all facilities under its control related to the Management of the CoC Material. The ASI Management Manual and relevant procedures and records are established.
1.3 Management system reviews	Conformance	The Entity has established a process to periodically review 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	The Entity has appointed a member of management (Admin. Vice President) as the responsible person for ASI CoC Standard implementation and defined roles and responsibilities to manage the Chain of Custody system.
1.5 Training	Minor Non-Conformance	The Entity delivers training to relevant personnel to raise awareness of ASI CoC requirements. However, insufficient training is provided to workers on how to verify the received CoC documents and how to trace the CoC Material in their Material Accounting System.
1.6 Record keeping	Conformance	The Entity maintains up-to-date records (Management System) covering all applicable requirements of the CoC Standard. The Entity's record management procedure defines the retention time as required by the ASI CoC Standard.
1.7a Reporting to ASI (Inputs and Outputs)	Not Applicable	This is the first Certification Audit, no such data is reported to ASI Secretariat yet.
1.7b Reporting to ASI (Input Percentage)	Not Applicable	This is the first Certification Audit, no such data is reported to ASI Secretariat yet.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Positive Balance)	Not Applicable	This is the first Certification Audit, no such data is reported to ASI Secretariat yet.
1.7d Reporting to ASI (Internal Overdraw)	Not Applicable	This is the first Certification Audit, no such data is reported to ASI Secretariat yet.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	This is the first Certification Audit, no such data is reported to ASI Secretariat yet.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This is the first Certification Audit, no such data is reported to ASI Secretariat yet.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This is the first Certification Audit, no such data is reported to ASI Secretariat yet.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.2a Control of CoC Material	Not Applicable	The criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.2b No further outsourcing	Not Applicable	The criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.2c Risk assessment	Not Applicable	The criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.3 Output Quantity	Not Applicable	The criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.4 Verification and record-keeping	Not Applicable	The criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.5 Error management	Not Applicable	The criterion is not applicable as the Entity does not have any Outsourcing Contractors.
<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	Conformance	Internal scrap metal is used by the Entity which is included in the Entity's ASI CoC Certification Scope. The Entity has robust processes in place to monitor the quantities of Recycled Aluminium and designated Eligible Inputs and Non-CoC Materials on its Material Accounting System.
4.1b ASI Performance Standard . Aluminium Re-Melting/Refining	Conformance	Internal scrap metal is used by the Entity as input to the Aluminium Re-melting/Refining process, which is included in the Entity's ASI Performance Standard Certification Scope. Please refer to the certificate: <a href="https://aluminium-stewardship.org/about-asi/asi-members/tianjin-zhongwang-aluminium-co-ltd/">https://aluminium-stewardship.org/about-asi/asi-members/tianjin-zhongwang-aluminium-co-ltd/</a>
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity Material Accounting System is designed to control and account for Eligible Scrap. At the time of the audit, no eligible scrap was being sourced from outside the Entity's CoC Certification Scope.
4.2b Post-Consumer Scrap	Not Applicable	The criterion is not applicable as the Entity does not source any Post-Consumer Scrap.
4.3a Supplier records	Not Applicable	This criterion is not applicable to the Entity's certification scope. Since the input material of the aluminium re-melting/refining process is internal scrap, no external scrap from supplier is purchased by the Entity.
4.3b Cash payments	Not Applicable	Not applicable due to no recyclable scrap is purchased from suppliers.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope . Casthouses	Conformance	The Entity's ASI Management Manual ensures production of ASI Aluminium only from the Casthouse that is within the Entity's CoC Certification Scope.
5.1b ASI Performance Standard . Casthouses	Conformance	The Entity's ASI Management Manual ensures production of ASI Aluminium only from the Casthouse Certified against the ASI Performance Standard.
5.2 Casthouse Products	Minor Non-Conformance	The Entity has a Material Accounting System to link and trace the input quantity of material of each production process, but due to no CoC Material in the Entity yet, the Entity does not

CRITERION	RATING	COMMENT
		assign special mark on the Material Accounting System to link or trace CoC Material.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope . Post-Casthouse	Conformance	The Entity's ASI Management Manual ensures production of ASI Aluminium only from the Post-Casthouse that is within the Entity's CoC Certification Scope.
6.1b ASI Performance Standard . Post-Casthouse	Conformance	The Entity has system in place to ensure that it produces ASI Aluminium only from the Entity certified against the ASI Performance Standard.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has system in place to ensure that it produces ASI Aluminium only from the Entity certified against the ASI CoC certified entities.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has an anti-corruption policy, covering the ASI CoC criteria of anti-corruption. All major next tier suppliers receive communication about the policy, and the Commitment Letters of Responsible Purchasing are signed by the suppliers. The anti-corruption policy is published and accessible via: <a href="http://www.zhongwangtj.com/culture.aspx?ParentId=2&amp;CatId=6">http://www.zhongwangtj.com/culture.aspx?ParentId=2&amp;CatId=6</a>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has a responsible purchasing policy, covering the environmental, social and governance aspects for the supplier, and ASI CoC criteria of responsible sourcing. All major next tier suppliers receive communication about the policy, and the Commitment Letters of Responsible Purchasing are signed by the suppliers. The responsible sourcing policy is published on: <a href="http://www.zhongwangtj.com/newsdetails.aspx?id=655&amp;CatId=29&amp;ParentId=28">http://www.zhongwangtj.com/newsdetails.aspx?id=655&amp;CatId=29&amp;ParentId=28</a> .
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has a responsible purchasing policy, covering the ASI CoC criteria of Human Rights Due Diligence. All major next tier suppliers receive communication about the policy, and the Commitment Letters of Responsible Purchasing are signed by the suppliers. The responsible sourcing policy is published on: <a href="http://www.zhongwangtj.com/newsdetails.aspx?id=655&amp;CatId=29&amp;ParentId=28">http://www.zhongwangtj.com/newsdetails.aspx?id=655&amp;CatId=29&amp;ParentId=28</a> .

CRITERION	RATING	COMMENT
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has a mechanism to manage the minerals from conflict affected and high-risk area, covering the ASI CoC criteria of conflict is provided to employees. All major next tier suppliers receive communication about the policy, and the Commitment Letters of Non-Conflict Mineral are signed by the suppliers. The responsible sourcing policy is published on: <a href="http://www.zhongwangtj.com/newsdetails.aspx?id=655&amp;CatId=29&amp;ParentId=28">http://www.zhongwangtj.com/newsdetails.aspx?id=655&amp;CatId=29&amp;ParentId=28</a> .
7.2 Risk assessment	Minor Non-Conformance	The Entity has conducted investigations for all their major suppliers on the ASI requirements implementation status as due diligence on CoC criteria, and the Entity also has a process to verify the result of the due diligence. However, the Entity has only conducted a simply risk assessment for the suppliers, the risk assessment does not base on the result of the due diligence.
7.3 Complaints mechanism	Minor Non-Conformance	The Entity has established a complaints mechanism that allows interested parties to voice concerns about non-compliance with its responsible sourcing policy in its Aluminium supply chain via: <a href="http://www.zhongwangtj.com/newsdetails.aspx?id=655&amp;CatId=29&amp;ParentId=28">http://www.zhongwangtj.com/newsdetails.aspx?id=655&amp;CatId=29&amp;ParentId=28</a> , and the complaints channel is only made public to partial external parties (suppliers) by signing Ethical agreement. However, the Entity does not publicly disclose the complaints channel to other interested parties.
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Minor Non-Conformance	The Entity has established a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass, but no explanation could be offered as to why the Output Quantity did not balance with the input quantity.
8.2a Post-Consumer Scrap	Not Applicable	Not applicable due to the Entity does not use post-consumer scrap.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has established a Material Accounting System that can record Input Quantity of the pre-Consumer scrap by mass which will conform to ASI CoC requirements.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The quantity of the eligible scrap generated by its own manufacture processes and other



CRITERION	RATING	COMMENT
		companies will be recorded in the Material Accounting System.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months for a calendar year.
8.4 Input Percentage	Conformance	The Entity has established processes to calculate and record the input percentage in compliance to the ASI CoC standard. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The Entity has established processes to calculate and record the input percentage of Aluminium Re-Melting/Refining in compliance to the ASI CoC standard. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting System in compliance with ASI CoC requirements to determine the output quantity. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.7 Output Quantity designation	Conformance	The Entity has established a Material Accounting System in compliance with ASI CoC requirements, to designate how the output quantity of CoC Material is defined. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.8 Output Quantity . Pre-Consumer Scrap	Conformance	The Entity has established a Material Accounting System in compliance with ASI CoC requirements, to designate how the output quantity of pre-consumer scrap is defined. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.9 Outputs not exceed inputs	Conformance	The Entity accounting system has been developed to have updated information on inventory balance on a frequent basis which conforms to the ASI Chain of Custody Standard requirement. At the time of the audit, there was no example of effective implementation of the

CRITERION	RATING	COMMENT
		system as no ASI CoC Material was available in the Entity's supply chain.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.11b Positive Balance (expiry)	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has a system that can compile the CoC documents to each shipment and transfer, ensuring that these are controlled, issued and stored as per ASI Chain of Custody Standard requirements. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.

CRITERION	RATING	COMMENT
9.2a Date of issue	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard and the date of issue is included. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2b Reference number	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard and the reference number is included. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2c Issuing Entity	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard with the issuing Entity. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2d Receiving customer	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard, the information of the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number are included. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2e Responsible employee	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard, the responsible employee who can verify information is included. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2f Conformance statement	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard, the statement confirming that the information provided in the CoC Document is in conformance with the ASI CoC Standard is included. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2g Type of CoC Material	Conformance	The Entity uses the ASI CoC Document template in ASI CoC Standard, the types of CoC Materials in the shipment are included. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC

CRITERION	RATING	COMMENT
		Material was available in the Entity's supply chain.
9.2h Mass of CoC Material	Conformance	The Entity uses ASI CoC Document template in the ASI CoC Standard, the mass of CoC Material is included. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2i Mass of total material	Conformance	The Entity uses ASI CoC Document template in the ASI CoC Standard, the mass of total Material is included. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.3a Sustainability Data (optional)	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard, where the optional sustainability data has been included. The Entity has established a system to calculate the GHG emissions of scope 1 and scope 2 for ASI Aluminium. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.3b Sustainability Data (passing on)	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard, where the optional sustainability data is included. The Entity has established a system to calculate the GHG emissions of scope 1 and scope 2 for ASI Aluminium. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard, and includes ASI certification status. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.4 Supplementary Information (optional)	Conformance	The Entity uses ASI CoC Document template in ASI CoC Standard, there is a column for supplementary information in the document template, where the Entity can provide the supplementary information per the requirements from customer. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.

CRITERION	RATING	COMMENT
9.5 Response to verification requests	Conformance	The Entity established processes and assigns the responsibility for responding to the verification of information in CoC Documents issued by the Entity. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.6 Error management	Conformance	The Entity will integrate error management with its current processes under ISO 9001 to deal with the error and prevent it from re-occurrence.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity establishes the process and responsibility for the verification of the information on received CoC Documents. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Materials was available in the Entity's supply chain.
10.2 Verify consistency with shipments	Conformance	The Entity established processes and assigns the responsibility for the verification the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
10.3 Verify supplier CoC Certification status	Conformance	The Entity appeared to have planned robust processes to ensure suppliers have a valid ASI certificate and trigger adequate processes if any changes occur to their status. The process will be managed by supply Department.
10.4 Error management	Conformance	The Entity will integrate error management with its current processes under ISO 9001 which appeared to be robust to document errors, corrective actions and any potential preventive measures to meet ASI Chain of Custody criteria.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System . allocation	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.1b Link to Casthouse Products	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.

CRITERION	RATING	COMMENT
11.1c No double counting	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.1d No Positive Balance for ASI Credits	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2a Date of issue	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2b Reference number	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2c Issuing Entity	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2d Receiving Entity	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2e Conformance statement	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2f ASI Credits statement	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2g Quantity	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3a CoC Certification Scope . purchasing ASI Credits	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3b Material Accounting System . purchasing	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3c Expiry	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3d No re-trading	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3e No allocation to physical products	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
<b>12 CLAIMS AND COMMUNICATIONS</b>		
12.1a ASI Claims Guide	Conformance	The responsibility of claims and communication is defined, the Entity has established the Claims and communication procedure according to the ASI requirement. At the time of the audit, there

CRITERION	RATING	COMMENT
		was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
12.1b Verifiable evidence	Conformance	The responsibility of claims and communication is defined, the Entity has established the Claims and communication procedure. The Vice President (management representative) is assigned to ensure compliant communication with the Claims Guide. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
12.1c Employee training	Conformance	The Entity provided training courses on Claims and Communication to relevant employees in April 2020.

**Document Control and Version History**

Revision	Date	Notes
0	7 July 2020	Issued (Full Certification)