

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

CHALCO RUIMIN CO., LTD.

CERTIFICATE
NUMBER

117

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV GL

DATE OF ISSUE

8 FEBRUARY 2021

DATE OF EXPIRY

7 FEBRUARY 2024

CERTIFIED SINCE

8 FEBRUARY 2021

AUTHORISED BY

A handwritten signature in white ink on a dark background, consisting of stylized initials and a long horizontal line.

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

CERTIFICATION SCOPE

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

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

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME Chalco Ruimin Co.,Ltd.

ENTITY NAME Chalco Ruimin Co.,Ltd.

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

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

SUPPLY CHAIN ACTIVITIES

- Casthouse
- Post-Casthouse

ASI STANDARD

- Chain of Custody Standard V1

AUDIT TYPE

- First Certification Audit

AUDIT FIRM DNV GL

AUDIT DATE

- 23 – 26 December 2020

AUDIT REPORT SUBMISSION

- 21 January 2021

AUDIT SCOPE Chalco Ruimin owns two plants: Mawei, Fuzhou, Fujian, China and at Fuqing, Fujian, China.

AUDIT OUTCOME

- Certification

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.

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- ☑ 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	8 February 2021 – 7 February 2024
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NEXT AUDIT TYPE	Surveillance Audit
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NEXT AUDIT DUE DATE	7 August 2022
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CERTIFICATE NUMBER	117
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SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an active ASI Member committed to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category. https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd/ .
1.2 Management system	Conformance	The Entity established policies, systems, procedures and processes that can comply with the ASI CoC Criteria regarding a Management System. The Management System has the capacity to handle ASI CoC Material. The Entity has an integrated Management System underpinned by ISO 9001. The Entity's ISO 9001 Certificate was issued by BSI and is valid in the Certification Period.
1.3 Management system reviews	Conformance	The Entity established a process to review at least once every 12 months the Management System to assess the effectiveness of the ASI CoC management and address potential areas of non-conformance/improvement. This was evidenced in the ASI CoC Management Manual and will be managed as part of the Entity's ISO 9001 Quality Management System.
1.4 Management representative	Conformance	A senior management member has nominated a Chairman as the ASI Management Representative to have overall responsibility for the implementation of the ASI CoC Standard and for the conformance with all applicable requirements of the CoC Standard.
1.5 Training	Conformance	The Entity has established and implemented communications and training measures that make relevant personnel aware of and competent in their responsibilities under the CoC Standard.
1.6 Record keeping	Conformance	The Entity establishes the Record Management Procedure based on ISO 19001 Management Procedure to maintain records (Management System) covering all applicable requirements of the CoC Standard including the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	An Annual Reporting Process has been developed and implemented, however this is not applicable for the Initial Certification Audit, as no CoC Material has been produced yet.
1.7b Reporting to ASI (Input Percentage)	Conformance	An Annual Reporting Process has been developed and implemented, however this is not applicable for

CRITERION	RATING	COMMENT
		the Initial Certification Audit, as no CoC Material has been produced yet.
1.7c Reporting to ASI (Positive Balance)	Conformance	An Annual Reporting Process has been developed and implemented, however this is not applicable for the Initial Certification Audit, as no CoC Material has been produced yet.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	An Annual Reporting Process has been developed and implemented, however this is not applicable for the Initial Certification Audit, as no CoC Material has been produced yet.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	Not applicable as the Entity does not intend to produce recycled (secondary) ASI Aluminium.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	Not applicable as the Entity does not intend to utilize the ASI Market Credits System.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Conformance	The Entity has identified all applicable Outsourced Contractors in its Certification Scope.
2.2a Control of CoC Material	Conformance	The Entity established procedures and contract items to define and control ownership of CoC Material used by Outsourcing Contractors.
2.2b No further outsourcing	Conformance	No further outsourcing requirement is defined in outsourcing contractual agreements. Incoming Material verification and supplier monitoring will be implemented to ensure no further outsourcing.
2.2c Risk assessment	Conformance	The Entity has assessed the risk of potential Non-Conformance with the CoC Standard resulting from the engagement of each Outsourcing Contractor.
2.3 Output Quantity	Conformance	The Entity has processes to ensure that the Outsourcing Contractor provides information on Output Quantity of CoC Material to the Entity at the end of the Entity's Material Accounting Period.
2.4 Verification and record-keeping	Conformance	The Entity has processes to verify that the Output Quantity of CoC Material is consistent with the Input Quantity of CoC Material provided to the Outsourcing Contractor, and to record it in its Material Accounting System.
2.5 Error management	Conformance	The Entity has processes to handle that if an error is discovered after CoC Material has been shipped, the Entity and the Outsourcing Contractor shall document

CRITERION	RATING	COMMENT
		the error and the agreed steps taken to correct it, and implement actions to avoid a recurrence.
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		
3.1a CoC Certification Scope – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Performance Standard – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a CoC Certification Scope – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Pre-Consumer Scrap and Dross	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Supplier records	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Cash payments	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope - Casthouses	Conformance	The observed system ensures production of ASI Aluminium only from the Casthouse that is within the Entity's CoC Certification Scope.

CRITERION	RATING	COMMENT
5.1b ASI Performance Standard - Casthouses	Conformance	The observed system ensures production of ASI Aluminium only from the Casthouse Certified against the ASI Performance Standard.
5.2 Casthouse Products	Conformance	The Entity has systems in place to ensure that unique identification numbers, either physically stamped and/or printed on ASI Aluminium Products or their packaging, can be linked to their Material Accounting System. The Material Accounting System on the Casthouse site of the Entity is ready and has been tested.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope - Post-Casthouse	Conformance	The observed system ensures production of ASI Aluminium only from the Facilities that are within the Entity's CoC Certification Scope.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity has a system in place to ensure that it produces ASI Aluminium only from the Entity's Certified Facilities against the ASI Performance Standard.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has systems in place to ensure that the ASI Aluminium is purchased only from the eligible Entities/Facilities directly, or indirectly, via a metals Trader and warehouse. At the time of the audit, there were no examples of effective implementation of the system as there was no sourcing and transfer of CoC Material.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Responsible Sourcing Policy covers the anti-corruption. All identified major next tier suppliers are informed about the Policy, and the Commitment Letters of Business Ethics are signed by the suppliers. The Responsible Sourcing Policy is published on: http://www.ruimin.com/xxgk/792.jhtml
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has a Responsible Purchasing Policy, covering the ASI CoC Criteria of Responsible Purchasing sourcing. All major next tier suppliers are informed about the Policy and signed the Commitment Letters of Responsible Purchasing. The Responsible Purchasing Policy is published on: http://www.ruimin.com/xxgk/792.jhtml
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 identified major next tier suppliers are informed about the Policy and signed the Commitment Letters of Responsible Purchasing.

CRITERION	RATING	COMMENT
		The Responsible Purchasing Policy is published on: http://www.ruimin.com/xxgk/792.jhtml
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has a Responsible Sourcing Policy which covers the High-RiskConflict-Affected and High-Risk Areas. The relevant training course is provided to employees. All identified major next tier suppliers are informed about the Policy and signed the Commitment Letters of Non-Conflict-Mineral. The Responsible Purchasing Policy is published on: http://www.ruimin.com/xxgk/792.jhtml
7.2 Risk assessment	Conformance	The Entity undertakes risk assessments of its suppliers and completes risk mitigation efforts where relevant. The Entity also conducts Second Party audits of its major next tier suppliers.
7.3 Complaints mechanism	Conformance	The Entity has a complaints mechanism that meets the requirements of the ASI Performance Standard Criterion 3.2. The Entity has a Whistleblower/Complaint channel to enable employees and external Stakeholders to anonymously report potential misconducts. The channels: hotline: +86-0591-83986190, mailbox: rmji@ruimin.com are provided to all Stakeholders. The information can be reached via: http://www.ruimin.com/xxgk/792.jhtml
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity establishes a Material Accounting System that can record Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass which will conform to ASI CoC requirement.
8.2a Post-Consumer Scrap	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2b Pre-Consumer Scrap (total)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months, a calendar year: from January 01 to December 31.
8.4 Input Percentage	Conformance	The Entity has established a process to calculate and record the Input Percentage in compliance with the ASI CoC standard. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.

CRITERION	RATING	COMMENT
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting System in compliance with ASI CoC requirements to determine the Output Quantity. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.7 Output Quantity designation	Conformance	The Entity has established a Material Accounting System which is in compliance with ASI CoC requirements, and designates the Output Quantity of CoC Material defined. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity has established a Material Accounting System. The Pre-Consumer Scrap will be designated the relevant proportion as Eligible Scrap and uses the Input Percentage for the given Material Accounting Period to determine the Output Quantity of Eligible Scrap. At the time of the audit, there were no real examples 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's accounting system is 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 were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The principle of Internal Overdraws to not exceed 20%, is defined in the CoC Management Manual. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The principle of Internal Overdraw shall not exceed the amount of CoC Material affected by the force majeure situation, is defined in the CoC management manual. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.

CRITERION	RATING	COMMENT
8.10c Internal Overdraws (period to make up)	Conformance	How the Internal Overdraw is made up within the subsequent Material Accounting Period, is defined in the CoC Management Manual. At the time of the audit, there were no examples of effective implementation of the System, as no ASI CoC Material was available in the Entity's supply chain.
8.11a Positive Balance (carry over)	Conformance	The Entity establishes a Material Accounting System in compliance with the ASI Chain of Custody Standard requirements. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Materials were available in the Entity's supply chain.
8.11b Positive Balance (expiry)	Conformance	The Entity establishes a Material Accounting System in compliance with the ASI Chain of Custody Standard requirements. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has a system that can issue the CoC Documents to each shipment and transfer, ensuring that these are controlled, issued and stored as per the ASI Chain of Custody Standard requirements. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2a Date of issue	Conformance	The Entity uses the ASI CoC Document template in the ASI CoC Standard, the date of issue is included. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2b Reference number	Conformance	The Entity uses the ASI CoC Document template in the ASI CoC Standard. The reference number is included. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2c Issuing Entity	Conformance	The Entity uses the ASI CoC Document template in ASI CoC Standard. Chalco Ruimin Co., Ltd. is the Issuing Entity. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.

CRITERION	RATING	COMMENT
9.2d Receiving customer	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The information about the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, its CoC Certification Number is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material is available in the Entity's supply chain.</p>
9.2e Responsible employee	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The responsible employee who can verify this information, is included. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.2f Conformance statement	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The statement confirming that "The information provided in the CoC Document is in Conformance with the ASI CoC Standard.", is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.2g Type of CoC Material	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The types of CoC Materials in the shipment are included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.2h Mass of CoC Material	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The mass of CoC Material is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.2i Mass of total material	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The mass of total Material is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.3a Sustainability Data (optional)	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The optional sustainable data is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>

CRITERION	RATING	COMMENT
9.3b Sustainability Data (passing on)	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The optional sustainable data is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.3c Post-Casthouse ASI Certification status	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. The ASI Certification Status for the ASI Performance Standard for the Entity is included.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.4 Supplementary Information (optional)	Conformance	<p>The Entity uses the ASI CoC Document template in the ASI CoC Standard. There is a column for Supplementary Information in the document template. The Entity can provide the Supplementary Information as per the requirements from the customer.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.5 Response to verification requests	Conformance	<p>The Entity establishes the process and assigns the responsibility to respond to the verification request.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
9.6 Error management	Conformance	<p>The Entity will integrate error management with its current processes under ISO 9001, to deal with the error and prevent it from re-occurring.</p> <p>At the time of the audit, there were no examples of effective implementation of the System, as no ASI CoC Material was available in the Entity's supply chain.</p>
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	<p>In Chapter 10 of the ASI Chain of Custody Management Manual, the process and responsibility are defined for the verification of the information on the received CoC Documents.</p> <p>At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.</p>
10.2 Verify consistency with shipments	Conformance	<p>In Chapter 10 of the ASI CoC Management Manual, the process and responsibility are defined for the verification of the consistency of received CoC Documents with the accompanying CoC Material, or Eligible Scrap, before recording information in their</p>

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

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

12 CLAIMS AND COMMUNICATIONS

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

Document Control and Version History

Revision	Date	Notes
0	8 February 2021	Initial Certification Audit