
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*

CERTIFICATION SCOPE

SIG Combibloc Group including Head Office -
Department Corporate Responsibility in Linnich
(Germany), the centralised Procurement Organisation
in 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 Group
CERTIFICATION SCOPE	SIG Combibloc Group including Head Office (Department Corporate Responsibility) in Linnich (Germany), the centralised Procurement Organisation in Neuhausen (Switzerland) and the production sites in Saalfelden (Austria), Wittenberg (Germany), Linnich (Germany), Rayong (Thailand), Suzhou (China) and Curitiba (Brazil).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (23 August – 17 September 2018)• Scope Change Audit (5 – 6 March 2019)• Scope Change Audit (20 – 21 January 2020)• Scope Change Audit (26 – 27 March 2020)• Surveillance Audit (31 March – 7 April 2021)
AUDIT FIRM	DNV GL
AUDIT DATE	<ul style="list-style-type: none">• 23 August - 17 September 2018 (Initial Certification Audit)• 5 - 6 March 2019 (Scope Change Audit)• 20 - 21 January 2020 (Scope Change Audit)• 26 - 27 March 2020 (Scope Change Audit)• 31 March 2020 – 7 April 2020 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 28 September 2018 (Initial Certification Audit)

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- 13 March 2019 (Scope Change Audit)
 - 14 February 2020 (Scope Change Audit)
 - 26 May 2020 (Scope Change Audit)
 - 10 February 2021 (Surveillance Audit)

AUDIT SCOPE

Initial Certification Audit (23 August - 17 September 2018)

The audit scope includes the Head Office (Department Corporate Responsibility, SIG International Services GmbH) in Linnich (Germany) and the Procurement Organisation (SIG Combibloc Procurement AG) in Neuhausen (Switzerland) and the SIG Combibloc GmbH & Co. KG production site in Saalfelden (Austria).

Supply chain activities included in the audit scope:

- Post-Casthouse

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

First Scope Change Audit (5 – 6 March 2019)

The audit scope covered the activities at the SIG Combibloc GmbH production sites in Wittenberg (Germany) and Linnich (Germany).

Supply chain activities included in the audit scope:

- Post-Casthouse

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

Second Scope Change Audit (20 – 21 January 2020)

The audit scope covered the activities at the SIG Combibloc Thailand Ltd production site in Rayong (Thailand) and SIG Combibloc (Suzhou) Co. Ltd production site in Suzhou (China).

Supply chain activities included in the audit scope:

- Post-Casthouse

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

Third Scope Change Audit (26 – 27 March 2020)

The audit scope covered the activities at the SIG Combibloc do Brasil Ltda production site in Curitiba (Brazil).

Supply chain activities included in the audit scope:

- Post-Casthouse

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

Surveillance Audit (31 March 2020 – 7 April 2020)

The audit scope covered the activities at Head Office (Department Corporate Responsibility) in Linnich (Germany) and the SIG Combibloc GmbH & Co. KG production site in Saalfelden (Austria).

Supply chain activities included in the audit scope:

- Post-Casthouse
-

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

At the time of the audit (March and April 2020), access to the sites 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.

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.
- 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.

CERTIFICATION
PERIOD

12 October 2018 – 11 October 2021

NEXT AUDIT
TYPE

Re-Certification Audit

NEXT AUDIT
DUE DATE

11 October 2021

CERTIFICATE
NUMBER

8

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. https://aluminium-stewardship.org/about-asi/asi-members/sig-combibloc/
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 Suzhou, 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. Management review results are based on internal audit results in April 2020.
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 Suzhou, 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's operating procedure specified that the Entity will report input and output quantities of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements. Reporting for 2019 was conducted 1 April 2020.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity's operating procedure specified that the Entity will report input and output quantities of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements. Reporting for 2019 was conducted 1 April 2020.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity's operating procedure specified that the Entity will report input and output quantities of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements. Reporting for 2019 was conducted 1 April 2020.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity's operating procedure specified that the Entity will report input and output quantities of CoC Material to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI CoC requirements. Reporting for 2019 was conducted 1 April 2020.
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 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.

CRITERION	RATING	COMMENT
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.
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.

CRITERION	RATING	COMMENT
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's 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: https://aluminium-stewardship.org/wp-content/uploads/2018/10/ASI-Summary-Audit-Report-SIG-Combibloc-PS-7.pdf The Entity is in the class of association of industrial users. Furthermore, the Entity's operating procedures and strategic cooperation with ASI certified suppliers will secure the supply and production of ASI CoC Materials.
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	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

CRITERION	RATING	COMMENT
		<p>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: https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf</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 has 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: https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf</p>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	<p>The Entity has developed policies, procedures and processes regarding responsible sourcing, Human Rights Due Diligence that conform to ASI CoC criteria and applicable ASI Performance Standard criteria. The Entity has implemented a CSR Tool which can be found at: https://sig.bravosolution.com/esop/tlg-host/public/sig/web/login.jst</p>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	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: https://cms.sig.biz/media/3270/sig-businessethics-code-suppliers-en.pdf</p>
7.2 Risk assessment	Conformance	<p>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 are 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. More information is available on the Entity's supply chain engagement programme: https://www.sig.biz/en/media/press-releases/highlighting-progress-on-sig-s-journey-way-beyond-good</p>

CRITERION	RATING	COMMENT
7.3 Complaints mechanism	Conformance	The Entity has a documented complaints procedure and processes to address complaints and concerns related to ASI. The email account established: asi@sig.biz
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.
8.3 Material Accounting Period	Conformance	The Entity will use a 12 month rolling period which started in May 2019 - April 2020. This is stated in the Volume Control Table that has been developed for the ASI Chain of Custody 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 it uses the mass balance calculation approach developed in an inventory file for management and calculations, including an ASI volume control table. The Volume Control Table 5/2019 - 5/2020 was reviewed during the audit.
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 Accounting System procedures and processes.
8.8 Output Quantity – Pre-Consumer Scrap	Not Applicable	This Criterion is not applicable, the Entity does not intend to produce Pre-Consumer Scrap within their CoC Certification Scope.

CRITERION	RATING	COMMENT
8.9 Outputs not exceed inputs	Conformance	The Entity's output quantity is designated as 100% CoC Material as per Material Accounting System procedures and processes. At the time of the audit, ASI Chain of Custody material sourced and produced was registered in ASI Volume Control Table 5/2019 - 4/2020 and shows an overlap of ASI certified aluminium in stock.
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's In-Scope Facilities have established internal controls to ensure the Internal Overdraw shall not exceed 20% of total input quantity of CoC Material.
8.10b Internal Overdraws (not exceed affected amount)	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's In-Scope Facilities have established internal controls to ensure the internal overdraw shall not exceed 20% of total input quantity of CoC Material.
8.10c Internal Overdraws (period to make up)	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 established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements.
8.11a Positive Balance (carry over)	Conformance	A Material Accounting System is in place and the functionality addresses the criteria. ASI Chain of Custody Material has been sourced and produced during material accounting period 5/2019 - 4/2020.
8.11b Positive Balance (expiry)	Conformance	A Material Accounting System is in place and the functionality addresses the criteria. ASI Chain of Custody Material has been sourced and produced during material accounting period 5/2019 - 4/2020.

CRITERION	RATING	COMMENT
9.1 Shipments and transfers	Conformance	The Entity has established a checklist for its procurement and order department, ensuring that Chain of Custody documents are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2a Date of issue	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
9.2b Reference number	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
9.2c Issuing Entity	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
9.2d Receiving customer	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
9.2e Responsible employee	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
9.2f Conformance statement	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
9.2g Type of CoC Material	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
9.2h Mass of CoC Material	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
9.2i Mass of total material	Conformance	The Entity is providing information on invoice and Chain of Custody Documents as required by ASI Chain of Custody Standard.
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 engage 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 not applicable, as The Entity does not engage in Aluminium Smelting, and/or Aluminium Re-Melting/Refining, and/or operating a Casthouse within their CoC Certification Scope.

CRITERION	RATING	COMMENT
9.4 Supplementary Information (optional)	Not Applicable	This Criterion is not applicable as it is not within the Entity's 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: asi@sig.biz
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. The Entity's Standard Operation Procedure (SOP) for handling ASI Material and use of the ASI logo, specifies the process. The central office will inform different stakeholders on the situation regarding the error and agree on necessary corrective actions.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has established processes to ensure that CoC documents are controlled, issued and stored as per ASI CoC requirements.
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.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	This Criterion is not applicable, as the Entity does not intend to use ASI Credits within their CoC Certification Scope.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is 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 not applicable, as the Entity does not intend to use ASI Credits within their CoC Certification Scope.

CRITERION	RATING	COMMENT
11.1d No Positive Balance for ASI Credits	Not Applicable	This Criterion is 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 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 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 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 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 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 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 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 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 not applicable, as the Entity does not intend to use ASI Credits within their CoC Certification Scope.
11.3c Expiry	Not Applicable	This Criterion is 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 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 not applicable, as the Entity does not intend to use ASI Credits within their CoC Certification Scope.

CRITERION	RATING	COMMENT
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is 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 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's operation procedures and the training of key personnel will ensure the correct use of ASI claims.
12.1c Employee training	Conformance	The Entity's 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 (Germany)).
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)).
4	5 July 2020	Surveillance Audit for Head Office and the Saalfelden (Austria) site; Updated Audit Type, Audit Dates and Audit Report Submission sections for each previous scope change audit for clarity; Updated Audit Scope details for each previous audit.