

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

XIAMEN XIASHUN ALUMINIUM FOIL CO., LTD.

CERTIFICATE
NUMBER

43

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

16 AUGUST 2019

DATE OF EXPIRY

15 AUGUST 2022

CERTIFIED SINCE

16 AUGUST 2019

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', written over a white background.

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*Validity of this Certificate is subject to continued
conformance with the applicable ASI Standard
and can be verified at*

www.aluminium-stewardship.org

CERTIFICATION SCOPE

Xiashun manufactures and sells foilstock, litho stock (CTP), capstock, light-gauge aluminium foil that is less than 10µm and lithium battery foil. The main processes include remelting and casting, hot rolling, cold rolling, finishing, foil rolling and foil finishing.

Xiashun has its Headquarters in Haicang District, Xiamen (P.R. China) and three production facilities including: 1) Sheet Plant, Haicang District, Xiamen; 2) Haicang Foil Plant, Haicang District, Xiamen; 3) Huli Foil Plant, Huli District, Xiamen.

SUMMARY AUDIT REPORT CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Xiamen Xiashun Aluminium Foil Co., Ltd.
ENTITY NAME	Xiamen Xiashun Aluminium Foil Co., Ltd.
CERTIFICATION SCOPE	<p>Xiashun manufactures and sells foilstock, litho stock (CTP), capstock, light-gauge aluminium foil that is less than 10µm and lithium battery foil. The main processes include remelting and casting, hot rolling, cold rolling, finishing, foil rolling and foil finishing.</p> <p>Xiashun has its Headquarters in Haicang District, Xiamen (P.R. China) and three production facilities including: 1) Sheet Plant, Haicang District, Xiamen; 2) Haicang Foil Plant, Haicang District, Xiamen; 3) Huli Foil Plant, Huli District, Xiamen.</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Aluminium Re-melting/Refining• Casthouses• 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 (22 – 24 July 2019)• Surveillance Audit (9 – 12 August 2021)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 22 – 24 July 2019 (Initial Certification Audit)• 9 – 12 August 2021 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 30 July 2019 (Initial Certification Audit)• 28 September 2021 (Surveillance Audit)

AUDIT SCOPE	<p><u>Initial Certification Audit (22 – 24 July 2019)</u></p> <p>Remelting, casting, hot rolling, cold rolling and finishing (foilstock, litho stock (CTP), capstock) and foil rolling and finishing (light-gauge aluminium foil that is less than 10µm and lithium battery foil) at the Head Office, Haicang Foil Plant, Huli Foil Plant, and Sheet Plant.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"> • Aluminium Re-melting/Refining • Casthouses • Post-Casthouse <p>Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Surveillance Audit (9 – 12 August 2021)</u></p> <p>The audit scope included the remelting, casting, hot rolling, cold rolling, finishing (foilstock, litho stock (CTP), capstock) and foil rolling and finishing (light-gauge aluminium foil that is less than 10µm and lithium battery foil) at the Head Office, Haicang Foil Plant, Huli Foil Plant, and Sheet Plant.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"> • Aluminium Re-melting/Refining • Casthouses • Post-Casthouse <p>Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p>
AUDIT OUTCOME	<ul style="list-style-type: none"> • Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report. <input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous. <input checked="" type="checkbox"/> The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope. <input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
CERTIFICATION PERIOD	16 August 2019 – 15 August 2022
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	15 August 2022
CERTIFICATION NUMBER	43

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	<p>The Entity 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 an ASI Performance Standard Certification as well.</p> <p>https://aluminium-stewardship.org/about-asi/asi-members/xiamen-xiashun-aluminium-foil-co-ltd/</p>
1.2 Management system	Conformance	<p>Xiamen Xiashun Aluminium Foil Co., Ltd. established policies, systems, procedures and processes that can comply with ASI Chain of Custody Criteria regarding a Management System. The Management System observed has the capacity to handle ASI CoC Material. Xiamen Xiashun Aluminium Foil Co., Ltd. has an integrated management system underpinned by ISO 9001. The Entity's ISO 9001 certificate was issued by DNV GL and is valid for the Certification Period.</p>
1.3 Management system reviews	Conformance	<p>Xiamen Xiashun Aluminium Foil Co., Ltd. has established mechanisms for the periodic review of the Management System, in line with their ISO 9001 certification.</p>
1.4 Management representative	Conformance	<p>The Entity has appointed a member of management as the responsible person for ASI Chain of Custody Standard implementation and defined roles and responsibilities to manage the Chain of Custody system.</p>
1.5 Training	Conformance	<p>The Entity delivered training to relevant personnel to raise awareness of ASI Chain of Custody requirements this year. The Entity has implemented training measures that make relevant personnel aware of, and competent in, their responsibilities under the ASI Chain of Custody Standard.</p>
1.6 Record keeping	Conformance	<p>Xiamen Xiashun Aluminium Foil Co., Ltd. maintains up-to-date records (Management System) covering all applicable requirements of the ASI Chain of Custody Standard. The Entity's record manager procedure defines the retention time as required by the ASI Chain of Custody Standard.</p>

CRITERION	RATING	COMMENT
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity reported to ASI the Input and Output Quantities of CoC Material/s over the 2019 and 2020 calendar year within 3 months after the end of the year.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity reported to ASI the Input Percentage/s calculated for the previous calendar year within 3 months after the end of the year.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity reported to ASI the data on the maximum Positive Balance in the 2020 calendar year carried over to the 2021 Material Accounting Period.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity's Chain of Custody Management Procedure specifies that the Entity will report required information of CoC Material to the ASI Secretariat within 3 months after the end of each calendar year.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity reported the data on total Input Quantities of Eligible Scrap to ASI Secretariat within 3 months after the end of each calendar year which conforms to ASI Chain of Custody requirements.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	The Entity does not plan to allocate ASI Credits.
1.7g Reporting to ASI (ASI Credits purchased)	Conformance	The Entity does not plan to purchase ASI Credits.
2 OUTSOURCING CONTRACTORS		
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.

CRITERION	RATING	COMMENT
2.5 Error management	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.

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	Conformance	Liquid Metal is produced at Xiashun wholly owned Sheet Plant which is included in the Entity's ASI CoC Certification Scope.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	Liquid Metal is produced at Xiashun wholly owned Sheet Plant which is included in the Entity's ASI Performance Standard Certification Scope.
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity's Material Accounting System is designed to control and account for Eligible Scrap coming into the value chain. Pre-Consumer Scrap that is designated as CoC Material supplied directly from their wholly owned Sheet Plant and Foil Plant, which is included in 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	The Criterion is not applicable as the Entity does not source any Recyclable Scrap Material from suppliers.
4.3b Cash payments	Not Applicable	The Criterion is not applicable as the Entity does not source any Recyclable Scrap Material from suppliers.

5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

CRITERION	RATING	COMMENT
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.
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 an accounting system to link and trace the Input Quantity of CoC material.
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 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 Performance Standard.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	Xiashun developed a Suppliers Code of Conduct covering the ASI CoC Criteria of anti-corruption. A copy of the Suppliers Code of Conduct can be found on the company's website: http://www.xiashun.com/envpubfile/ASI10.pdf
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has established a supplier responsible sourcing framework including Human Rights Due Diligence. A copy of the Suppliers Code of Conduct can be found on the company's website: http://www.xiashun.com/envpubfile/ASI10.pdf
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has established a supplier responsible sourcing framework including Human Rights Due Diligence. A copy of the Suppliers Code of Conduct can be found on the company's website: http://www.xiashun.com/envpubfile/ASI10.pdf
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has established a supplier responsible sourcing framework including assessment of Conflict-Affected and High-Risk Areas. A copy of the Suppliers Code of Conduct can be found on the company's website: http://www.xiashun.com/envpubfile/ASI10.pdf

CRITERION	RATING	COMMENT
7.2 Risk assessment	Conformance	The Entity assesses the risks of Non-Compliance with its Responsible Sourcing Policy by its suppliers of Non-CoC Material, documents the findings, and undertakes measurable risk mitigation where risks of adverse impacts are identified.
7.3 Complaints mechanism	Conformance	The Entity has established a complaints mechanism allowing to raise concerns through different channels, such as the company website: http://www.xiashun.com/envpubfile/ASI1.pdf
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that can record Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass which conforms to ASI Chain of Custody requirements. It is confirmed in the surveillance audit.
8.2a Post-Consumer Scrap	Not Applicable	Due to the quality management requirement, 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 conform to ASI Chain of Custody requirements. To date, no Pre-Consumer Scrap is allocated as CoC Material.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The quantity of the Eligible Scrap generated by its own manufacture processes will be recorded in the Material Accounting System. Due to the quality requirements of the product, the Entity does not use any scrap from other companies. To date, no process scraps are allocated as Eligible Scrap.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months, a calendar year. It is confirmed in the surveillance audit.
8.4 Input Percentage	Conformance	The Entity has established processes to calculate and record the Input Percentage in compliance to the ASI Chain of Custody Standard. Per the interview with responsible person and reviewing records in the Mass Balance System, the Entity applies the percentage calculations.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The Entity has established processes to calculate and record the Input Percentage of Aluminium

CRITERION	RATING	COMMENT
		Re-Melting/Refining in compliance to the ASI Chain of Custody Standard. The percentage calculation was confirmed correct in the surveillance audit.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody requirements to determine the Output Quantity. In the surveillance audit, the correct Output Quantity determination was confirmed.
8.7 Output Quantity designation	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody requirements, how to designate the Output Quantity of CoC Material is defined. In the surveillance audit, it was confirmed that the Output Quantity of CoC Material is designated as 100% CoC Material.
8.8 Output Quantity – Pre-Consumer Scrap	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody requirements, how to designate the Output Quantity of Pre-Consumer Scrap is defined. Per the interview of the responsible person and review of data in the Mass Balance System, to date, no Eligible Scrap is used in the Entity.
8.9 Outputs not exceed inputs	Conformance	The Entity's 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, no such case that Outputs exceed Inputs is found.
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. Per the interview of the responsible person and review of data in the Mass Balance System, the Entity understands the requirement of this Criterion, and to date there are no Internal Overdraws.
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. Per the interview of the responsible person and review of data in the Mass Balance System, the Entity understands the requirement of this Criterion, and to date there are no Internal Overdraws.

CRITERION	RATING	COMMENT
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. Per the interview of the responsible person and review of data in the Mass Balance System, the Entity understands the requirement of this Criterion, and to date there are no Internal Overdraws.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements. Per the interview of the responsible person and review of data in the Mass Balance System, the Entity understands the requirement of this Criterion, and there is no Positive Balance to date.
8.11b Positive Balance (expiry)	Conformance	The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements. Per the interview of the responsible person and review of data in the Mass Balance System, the Entity understands the requirement of this Criterion, and there is no Positive Balance to date.
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. Per the interview and check of data in the Mass Balance System (MES System), the Entity issues a CoC to Document accompany each shipment.
9.2a Date of issue	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the date of issue is included.
9.2b Reference number	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the reference number is included: CoC + Working Order number + XS + 3-digit series number.
9.2c Issuing Entity	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, Xiamen Xiashun Aluminium Foil Co., Ltd is the issuing Entity.
9.2d Receiving customer	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the information of the identity and address of the customer

CRITERION	RATING	COMMENT
		receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number are included.
9.2e Responsible employee	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the responsible employee who can verify information is included.
9.2f Conformance statement	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the statement confirming that "The information provided in the CoC Document is in conformance with the ASI CoC Standard." is included.
9.2g Type of CoC Material	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the types of CoC Materials in the shipment are included.
9.2h Mass of CoC Material	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the mass of CoC Material is included.
9.2i Mass of total material	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the mass of total Material is included.
9.3a Sustainability Data (optional)	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the optional Sustainable Data is included. Currently, the data on GHG emission is not required by the customer, so not provided.
9.3b Sustainability Data (passing on)	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the optional Sustainable Data is included. Currently, the average intensity of GHG emissions (scope 1 and 2) in tonnes CO ₂ -eq per metric tonne ASI Aluminium is not required by the customer, so the information is not provided.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, the optional Sustainable Data is included. ASI Certification status for the ASI Performance Standard for the Entity is included.
9.4 Supplementary Information (optional)	Conformance	The Entity uses the ASI CoC Document template in ASI Chain of Custody Standard, there is a column for Supplementary Information in the document template and the Entity can provide the Supplementary Information per the requirements

CRITERION	RATING	COMMENT
		from customer. The accuracy of the information in issued CoC Documents is verified in the surveillance audit.
9.5 Response to verification requests	Conformance	In Chapter 3.3 of ASI Chain of Custody Management Procedure, the process and responsibility are defined for responding to the request of verification of information in CoC Documents issued by the Entity. To date, no verification requests have been received.
9.6 Error management	Conformance	The Entity integrates error management with its current processes under ISO 9001 to deal with the error and prevent a recurrence. To date, no error after CoC Material has been shipped has been found or reported.
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. From 2020, the Entity receives the CoC Materials from one supplier which is certified against the ASI Chain of Custody Standard, and gets the ASI CoC Document with each shipment. The supplier uses the ASI CoC Document template in the ASI Chain of Custody Standard. The responsible person verifies the required information included in the documents.
10.2 Verify consistency with shipments	Conformance	The Entity established processes and assigns the responsibility to verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System. The implementation of the process was verified during the audit.
10.3 Verify supplier CoC Certification status	Conformance	The Entity appeared to have planned robust processes to ensure suppliers have a valid ASI Chain of Custody Certification and trigger adequate processes if any changes occur to their status. The process will be managed by the supply department. The implementation of the process was verified during the audit.
10.4 Error management	Conformance	The Entity integrates error management with its current processes under ISO 9001 which appeared to be robust to document errors, corrective actions and any potential preventive

CRITERION	RATING	COMMENT
		measures to meet ASI Chain of Custody Criteria. To date, no error has been found or reported.
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 for 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.
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.

CRITERION	RATING	COMMENT
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 years 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	The responsibility of claims and communication is defined, and the process of claims and communication is defined to follow the ASI Claims Guide. Currently, the Entity is only issuing the CoC Documents, no other types of claims are made.
12.1b Verifiable evidence	Conformance	The Entity appointed roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide. Currently, the Entity is only issuing CoC Documents, no other types of claims are made.
12.1c Employee training	Conformance	The Entity provides training courses on Claims and Communication to relevant employees.

Document Control and Version History

Revision	Date	Notes
0	16 August 2019	Initial Certification Audit – Full Certification
1	29 October 2021	Surveillance Audit; Certification Scope revised to update the products and processes and shorten the description of the site locations; Revised the processes listed in the Audit Scope description for the Initial Certification Audit.