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# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD

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PRESENTED TO

# JIANGSU ZHONGJI LAMINATION MATERIALS CO., LTD.

CERTIFICATE  
NUMBER

44

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

DNV BUSINESS  
ASSURANCE  
SERVICES UK  
LTD.

DATE OF ISSUE

4 SEPTEMBER 2019

DATE OF EXPIRY

3 SEPTEMBER 2022

CERTIFIED SINCE

4 SEPTEMBER 2019

AUTHORISED BY

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

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-stewardship.org)*

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CERTIFICATION SCOPE

Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil.

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# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

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### OVERVIEW

MEMBER NAME	Jiangsu Zhongji Lamination Materials Co., Ltd.
ENTITY NAME	Jiangsu Zhongji Lamination Materials Co., Ltd.
CERTIFICATION SCOPE	Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Post-Casthouse</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Chain of Custody Standard V1</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (30 July – 1 August 2019)</li><li>• Surveillance Audit (27 September 2021)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 30 July – 1 August 2019 (Initial Certification Audit)</li><li>• 27 September 2021 (Surveillance Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 13 August 2019 (Initial Certification Audit)</li><li>• 8 November 2021 (Surveillance Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (30 July – 1 August 2019)</u></p> <p>Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Post-Casthouse</li></ul> <p>Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Surveillance Audit (27 September 2021)</u></p> <p>Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil.</p>

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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.

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AUDIT  
OUTCOME

- Certification
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AUDIT  
METHODOLOGY  
DECLARATION

The Auditors confirm that:

- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this report.
  - The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
  - The Audit Scope and audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
  - The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION  
PERIOD

4 September 2019 – 3 September 2022

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NEXT AUDIT  
TYPE

Re-Certification Audit

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NEXT AUDIT  
DUE DATE

3 September 2022

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CERTIFICATION  
NUMBER

44

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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, commits to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category: <a href="https://aluminium-stewardship.org/about-asi/asi-members/jiangsu-zhongji-lamination-materials-co-ltd">https://aluminium-stewardship.org/about-asi/asi-members/jiangsu-zhongji-lamination-materials-co-ltd</a>
1.2 Management system	Conformance	The Entity has established policies, systems, procedures and processes that can comply with ASI Chain of Custody 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 China Quality Certification Centre and is valid for the Certification Scope and period.
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. The latest management review was conducted on 20 July 2021.
1.4 Management representative	Conformance	The Entity has nominated a member of senior management as the ASI Management Representative to have overall responsibility for the implementation of and conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Training	Conformance	The Entity delivers training courses to relevant personnel to raise awareness of and ensure competency in their responsibilities under the ASI Chain of Custody Standard.
1.6 Record keeping	Conformance	The Entity has established a record management procedure based on ISO 9001 management procedures to maintain records (Management System) covering all applicable requirements of the ASI Chain of Custody Standard including the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	In the ASI CoC Management Manual, the process to report the Input and Output Quantities of CoC Materials to the ASI Secretariat are defined. The

CRITERION	RATING	COMMENT
		latest report to the ASI Secretariat was on March 11, 2021, the Input Quantity and Output Quantity is zero.
1.7b Reporting to ASI (Input Percentage)	Conformance	An inventory file has been developed in Excel format for the management and calculation of data to be reported to the ASI Secretariat. The latest report to the ASI Secretariat was on March 11, 2021, where the Input Percentage was zero.
1.7c Reporting to ASI (Positive Balance)	Conformance	An inventory file has been developed in Excel format for the management and calculation of data to be reported to the ASI Secretariat. The latest report to the ASI Secretariat was on March 11, 2021, where the Positive Balance was zero.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	An inventory file has been developed in Excel format for the management and calculation of data to be reported to the ASI Secretariat. The latest report to the ASI Secretariat was on March 11, 2021, where the Internal Overdraw was zero.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	This Criterion is not applicable as the Entity is not engaged in Aluminium Re-melting/Refining.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This Criterion is not applicable as the Entity is not engaged in Aluminium Re-melting/Refining.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion is not applicable as the Entity is not engaged in Aluminium Re-melting/Refining.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2a Control of CoC Material	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2b No further outsourcing	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2c Risk assessment	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.

CRITERION	RATING	COMMENT
2.3 Output Quantity	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.4 Verification and record-keeping	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.5 Error management	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.

### 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

CRITERION	RATING	COMMENT
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 has systems in place to ensure that it is producing ASI Aluminium within its Certification Scope. 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.
6.1b ASI Performance Standard – Post-Casthouse	Conformance	The relevant suppliers are asked to declare if they have ASI Performance Standard Certification and the Certification Scope covers the products purchased.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has systems in place to ensure that ASI Aluminium is purchased only from eligible CoC Certified Entities directly or indirectly via a metals trader and warehouse where the CoC Document is supplied or can be verified. 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.

#### 7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL

7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has a Responsible Sourcing Policy covering the ASI Chain of Custody Criteria on anti-corruption. All identified major next tier suppliers are communicated with on the Policy, and have signed the Commitment Letter of Business Ethics. The Responsible Sourcing Policy is published on: <a href="http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf">http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf</a>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has a Responsible Sourcing Policy, covering the ASI Chain of Custody Criteria of responsible sourcing. All major next tier suppliers are communicated with on the Policy and have signed the Commitment Letter of Responsible Purchasing. The Entity has a mailbox and hotline for whistleblowing/complaints: hotline: +86-0510-80128303 mailbox: <a href="mailto:zhengyan@zjalufoil.com">zhengyan@zjalufoil.com</a>

CRITERION	RATING	COMMENT
		The Responsible Sourcing Policy is published on: <a href="http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf">http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf</a>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has a Responsible Sourcing Policy, covering the ASI Chain of Custody Criteria on human rights due diligence. All identified major next tier suppliers are communicated with on the Policy and have signed the Commitment Letter of Responsible Purchasing. The Responsible Sourcing Policy is published on: <a href="http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf">http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf</a>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has a Responsible Sourcing Policy, covering the ASI Chain of Custody Criteria on conflict-affected and high-risk areas. The relevant training course is provided to employees. All identified major next tier suppliers are communicated with on the policy and have signed the Commitment Letter of Non-Conflict-Minerals. The Responsible Sourcing Policy is published on: <a href="http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf">http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf</a>
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 whistleblower/complaints channel to enable employees and external stakeholders to anonymously report potential misconduct. The hotline channel is: hotline: +86-0510-80128303 mailbox: <a href="mailto:zhengyan@zjalufoil.com">zhengyan@zjalufoil.com</a>
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.
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.



CRITERION	RATING	COMMENT
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.
8.4 Input Percentage	Conformance	The Entity has established a process to calculate and record the Input Percentage in compliance with the ASI Chain of Custody 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.
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 established a Material Accounting System in compliance with ASI Chain of Custody 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 established a Material Accounting System in compliance with ASI Chain of Custody requirements, defining how to designate the Output Quantity of CoC Material. 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 clearly defines how to determine the Output Quantity of Eligible Scrap for the given Material Accounting Period, including the identification of potential sources of Pre-Consumer Scrap and the calculation formula to determine the Output Quantity of Eligible Scrap.
8.9 Outputs not exceed inputs	Conformance	The Entity's accounting system was developed to have information on inventory balance updated 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 Entity has established 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

CRITERION	RATING	COMMENT
		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 were no examples 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 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 has established a Material Accounting System in compliance with 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.
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 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 compiles CoC Documents for each shipment and transfer, ensuring 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 Chain of Custody Standard, where 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 Chain of Custody Standard, where the reference number is included. At the time of the

CRITERION	RATING	COMMENT
		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 the ASI Chain of Custody Standard, 'Jiangsu Zhongji Lamination Material Co., Ltd.' is included as 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.
9.2d Receiving customer	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, where information on the identity and address of the customer receiving the CoC Material is provided. If it is another CoC Certified Entity, their CoC Certification 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.
9.2e Responsible employee	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, where the responsible employee who can verify 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.
9.2f Conformance statement	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, where 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 were no examples 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 the ASI Chain of Custody Standard, where the types of CoC Materials in the shipment are 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.
9.2h Mass of CoC Material	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, where the mass of CoC Material is included. At the time of the

CRITERION	RATING	COMMENT
		audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.2i Mass of total material	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, where the mass of total Material 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.
9.3a Sustainability Data (optional)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3b Sustainability Data (passing on)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, where optional Sustainability Data 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.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, where the ASI Certification status for the ASI Performance Standard for the Entity 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.
9.4 Supplementary Information (optional)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, where there is a column for Supplementary Information. The Entity can provide the Supplementary Information as per the requirements from customer. In the ASI CoC Management Manual, the Entity requires all information to be consistent with information generated within the ASI Performance Standard and be reliable. 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.
9.5 Response to verification requests	Conformance	The Entity has established a process to, and assign responsibility to respond to requests for verification of information within the CoC Documents.
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.

CRITERION	RATING	COMMENT
10.1 Verify required information included	Conformance	The Entity has established the process and responsibility for the verification of the information on received CoC Documents. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Materials are available in the Entity's supply chain.
10.2 Verify consistency with shipments	Conformance	The Entity has established processes and has assigned responsibility for the verification and 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 were no examples of effective implementation of the system as no ASI CoC Material are available in the Entity's supply chain.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has planned robust processes to ensure suppliers have a valid ASI CoC Certification and trigger adequate processes if any changes occur to their status. The process is managed by the System 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 utilise the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.1c No double counting	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.1d No Positive Balance for ASI Credits	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2a Date of issue	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2b Reference number	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2c Issuing Entity	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.

CRITERION	RATING	COMMENT
11.2d Receiving Entity	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2g Quantity	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3b Material Accounting System – purchasing	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3c Expiry	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3d No re-trading	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3e No allocation to physical products	Not Applicable	Not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	Not applicable as the Entity does not intend to utilise 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 utilise the ASI Market Credits System.
<b>12 CLAIMS AND COMMUNICATIONS</b>		
12.1a ASI Claims Guide	Conformance	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. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material is available on the Entity's supply chain.
12.1b Verifiable evidence	Conformance	The Entity has appointed roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material is available on the Entity's supply chain.
12.1c Employee training	Conformance	The Entity provided the training courses on claims and communication to the relevant employees.

**Document Control and Version History**

Revision	Date	Notes
0	4 September 2019	Initial Certification Audit – Full Certification
1	22 November 2021	Surveillance Audit