

ASI CERTIFICATION
CHAIN OF CUSTODY
STANDARD



PRESENTED TO

**YUNNAN HAOXIN
ALUMINUM FOIL
CO., LTD.**

CERTIFICATE
NUMBER

174

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI
ACCREDITED
AUDITOR

TÜV
RHEINLAND
CERT GmbH

DATE OF ISSUE

13 JANUARY 2022

DATE OF EXPIRY

12 JANUARY 2025

CERTIFIED SINCE

13 JANUARY 2022

AUTHORISED BY

A handwritten signature in white ink, consisting of stylized initials and a long horizontal stroke.

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

Aluminium re-melting, refining and semi-fabrication activities, associated with the manufacture of aluminium foil at the Yunnan Haoxin Aluminum Foil plant, China.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Yunnan Haoxin Aluminum Foil Co., Ltd
ENTITY NAME	Yunnan Haoxin Aluminum Foil Co., Ltd.
CERTIFICATION SCOPE	Aluminium re-melting, refining and semi-fabrication activities, associated with the manufacture of aluminium foil at the Yunnan Haoxin Aluminum Foil plant, China.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-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
AUDIT FIRM	TÜV Rheinland Cert GmbH
AUDIT DATE	<ul style="list-style-type: none">24 – 26 November 2021
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">25 December 2021
AUDIT SCOPE	<p>The audit scope includes aluminium re-melting, refining and semi-fabrication associated with the manufacture of aluminium foil at the Yunnan Haoxin Aluminum Foil plant, China.</p> <p>The supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse <p>All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>
AUDIT OUTCOME	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.

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- 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	13 January 2022 – 12 January 2025
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NEXT AUDIT TYPE	Surveillance Audit
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NEXT AUDIT DUE DATE	12 January 2023
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CERTIFICATE NUMBER	174
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SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	Yunnan Haoxin Aluminum Foil Co., Ltd is an ASI Member committed to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category and also holds an ASI Performance Standard Certification: https://aluminium-stewardship.org/about-asi/asi-members/yunnan-haoxin-aluminum-foil-co-ltd
1.2 Management system	Conformance	The Entity has established a Management System to address all applicable requirements of the ASI Chain of Custody Standard. The ASI System Manual and relevant procedures and records are established, which includes the purpose, scope, policies, responsibilities, risk assessment, improvement objectives, training, communication, internal audit, corrective action plan, document and record keeping, supplier management and workflow of the ASI CoC system.
1.3 Management system reviews	Conformance	The Entity established a process to periodically review the Management System to assess the effectiveness of the Chain of Custody management and address potential areas of non-conformance and improvement. A periodic review will be conducted at least once per year according to the established procedure. The latest internal audit and management review was conducted in November 2021.
1.4 Management representative	Conformance	The Entity has defined the roles and responsibilities to manage the Chain of Custody system and appointed the General Manager of Foil Unit as the responsible person for the ASI Chain of Custody Standard implementation. This role is also responsible for implementation of the ASI Performance Standard. ,
1.5 Training	Conformance	The Entity delivers training to relevant personnel to raise awareness of the ASI Chain of Custody Standard requirements. Annual training plan, training materials and training records are maintained, with the latest training conducted in October 2021.
1.6 Record keeping	Conformance	The Entity's ASI System Manual defines the retention time, all records are retained for at least 5 years.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity's ASI System Manual defines that the Entity will report required information to the ASI Secretariat within 3 months after the end of each

CRITERION	RATING	COMMENT
		calendar year. Being the initial Certification Audit, no such data has been reported to the ASI Secretariat.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity's ASI System Manual defines that the Entity will report required information to the ASI Secretariat within 3 months after the end of each calendar year. Being the initial Certification Audit, no such data has been reported to the ASI Secretariat.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity's ASI System Manual defines that the Entity will report required information to the ASI Secretariat within 3 months after the end of each calendar year. Being the initial Certification Audit, no such data has been reported to the ASI Secretariat.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity's ASI System Manual defines that the Entity will report required information to the ASI Secretariat within 3 months after the end of each calendar year. Being the initial Certification Audit, no such data has been reported to the ASI Secretariat.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity's ASI System Manual defines that the Entity will report required information to the ASI Secretariat within 3 months after the end of each calendar year. Being the initial Certification Audit, no such data has been reported to the ASI Secretariat.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	The Entity's ASI System Manual defines that the Entity will report required information to the ASI Secretariat within 3 months after the end of each calendar year. Being the initial Certification Audit, no such data has been reported to the ASI Secretariat.
1.7g Reporting to ASI (ASI Credits purchased)	Conformance	The Entity's ASI System Manual defines that the Entity will report required information to the ASI Secretariat within 3 months after the end of each calendar year. Being the initial Certification Audit, no such data has been reported to the ASI Secretariat.
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.

CRITERION	RATING	COMMENT
2.3 Output Quantity	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.4 Verification and record-keeping	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.5 Error management	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
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	Internal scrap, purchased Aluminium ingots from Dross and purchased scrap Aluminium wires are used by the Entity as input to the Aluminium Re-melting/Refining process, which is included in the Entity's ASI Chain of Custody Certification Scope. The Entity has robust processes in place to monitor the quantities of Recycled Aluminium and designated Eligible Inputs and Non-CoC Material in its Material Accounting System.
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Conformance	Internal scrap, purchased Aluminium ingots from Dross and purchased scrap Aluminium wires are used by the Entity as input to the Aluminium Re-melting/Refining process, which is included in the Entity's ASI Performance Standard Certification Scope. Please refer to the Certificate: https://aluminium-stewardship.org/about-asi/asi-members/yunnan-haoxin-aluminum-foil-co-ltd The Entity has robust processes in place to monitor the quantities of Recycled Aluminium and designated Eligible Inputs and Non-CoC Material in its Material Accounting System.

CRITERION	RATING	COMMENT
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. Only Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity or Aluminium recovered from Dross and treated Dross residues that is subject to supplier due diligence as per section 7 is considered as Eligible Scrap.
4.2b Post-Consumer Scrap	Conformance	The Entity's Material Accounting System is designed to control and account for Eligible Scrap coming into the value chain. Only Post-Consumer Scrap that is subject to supplier due diligence as per section 7 and assessed by the Entity to be post-consumer in origin is considered as Eligible Scrap.
4.3a Supplier records	Minor Non-Conformance	The Entity has two (2) scrap material suppliers and has a system to record their identities and principals. The Entity has investigated all the places of operation for the two suppliers, however, it does not record related information in the internal system.
4.3b Cash payments	Minor Non-Conformance	At present, all financial transactions with direct suppliers of scrap materials are by bank transfer and no cash payments are made. However, the Entity does not document a financial threshold should a cash payment be carried out in a single operation or in several operations that appear to be linked.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope - Casthouses	Conformance	The Entity has established processes to ensure that production of ASI Aluminium is only from the Casthouse that is within the Entity's CoC Certification Scope.
5.1b ASI Performance Standard - Casthouses	Conformance	The Entity has established processes to ensure production of ASI Aluminium is only from the Casthouse that is within the Entity's CoC Certification Scope.
5.2 Casthouse Products	Minor Non-Conformance	The Entity has a MES (Manufacturing Execution System) to link and trace the Input Quantity of material of each production process, and has established a procedure for tracing CoC Material, including using a special label or appointed area for different material. However, the Entity does not assign a special mark within the Material Accounting System to link the status of CoC Material.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Entity has a system in place to ensure it produces ASI Aluminium only from the Post-

CRITERION	RATING	COMMENT
		Casthouse facility that is within the Entity's CoC Certification Scope.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity has a system in place to ensure it produces ASI Aluminium only from an Entity certified against the ASI Performance Standard.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has a system in place to ensure it produces ASI Aluminium only from an ASI Chain of Custody Certified Entity. Currently, the Entity does not source ASI Aluminium from another CoC Certified Entity.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has an Anti-Corruption Policy, covering the ASI Chain of Custody Criteria of Anti-Corruption. All major next tier suppliers have received communication about the Policy and signed Integrity Contracts.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has a Responsible Purchasing Policy, covering the environmental, social and governance aspects for the supplier and the ASI Chain of Custody Criteria of Responsible Sourcing. All major next tier suppliers have received communication on the Policy and signed a commitment letter to comply with the Policy.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has a Responsible Purchasing Policy, covering the ASI Chain of Custody Criteria of Human Rights Due Diligence. All major next tier suppliers received communication about the Policy and signed commitment letter for this Policy.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has a mechanism to manage the minerals from Conflict Affected and High-Risk Areas, covering the ASI CoC Criteria of Conflict Affected and High-Risk Areas. The relevant training course is provided to employees. All major next tier suppliers receive communication on the Policy and signed a commitment letter to comply with the Policy.
7.2 Risk assessment	Minor Non-Conformance	The Entity has conducted an investigation of all 51 major suppliers on the ASI Chain of Custody Standard requirements and their implementation and has a process to verify the result of the Due Diligence. However, the risk assessment of the suppliers is inadequate and does not focus on the results of the Due Diligence and, for suppliers of Recyclable Scrap Material, does not consider the source of materials.

CRITERION	RATING	COMMENT
7.3 Complaints mechanism	Conformance	The Entity has established a complaints mechanism that allows interested parties to voice concerns about non-compliance with its responsible sourcing policy in its Aluminium Supply Chain, the complaints channels, including email and hotline, are published in the Annual Sustainable Report: https://ylgf.chinalco.com.cn/whyzr/shzr/202105/P020210514516109432330.pdf

8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Minor Non-Conformance	The Entity has a MES (Manufacturing Execution System) that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass, but there is no explanation provided for when the Output Quantity is not in balance with the Input Quantity.
8.2a Post-Consumer Scrap	Conformance	The Entity has a MES (Manufacturing Execution System) that records Input Quantity and Output Quantity of Post-Consumer Scrap by mass.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has a MES (Manufacturing Execution System) that records Input Quantity and Output Quantity of Pre-Consumer Scrap by mass.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Quantity of Eligible Scrap generated by its own manufacturing processes and other companies will be recorded in the MES (Manufacturing Execution System). The Entity has a process to ensure all Eligible Scrap is only from CoC Certified suppliers.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months, a Calendar Year from January 1 to December 31.
8.4 Input Percentage	Conformance	The Entity has established processes to calculate and record the Input Percentage in compliance with the ASI Chain of Custody Standard. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available.
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Conformance	The Entity has established processes to calculate and record the Input Percentage of Aluminium Re-Melting/Refining in compliance with the ASI Chain of Custody Standard. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
8.6 Output Quantity determination	Conformance	The Entity has a MES (Manufacturing Execution System) in compliance with ASI Chain of Custody

CRITERION	RATING	COMMENT
		Standard requirements to determine the Output Quantity. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
8.7 Output Quantity designation	Conformance	The Entity has a MES (Manufacturing Execution System) in compliance with ASI Chain of Custody Standard requirements, which defines how to designate the Output Quantity of CoC Material. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity has a MES (Manufacturing Execution System) in compliance with ASI Chain of Custody Standard requirements, which defines how to designate the Output Quantity of Pre-Consumer Scrap. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
8.9 Outputs not exceed Inputs	Conformance	The Entity's MES (Manufacturing Execution System) has capacity to ensure that the total Output of CoC Material and Eligible Scrap does not exceed the Input Percentage as applied to total Input of CoC Material and Eligible Scrap over the Material Accounting Period. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
8.10a Internal Overdraws (not exceed 20%)	Minor Non-Conformance	The Entity has a policy to ensure that the Internal Overdraw should not exceed 20% of total Input Quantity of CoC Material in the Material Accounting Period. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain. However, the Entity has not established a detailed procedure on how to prevent Internal Overdraw not exceeding 20% in the Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has a policy to ensure that the Internal Overdraw does not exceed 20% of total Input CoC Material in the Material Accounting Period and the Overdraw could only be caused by a force majeure situation. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.

CRITERION	RATING	COMMENT
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has a policy to ensure that the Internal Overdraw does not exceed 20% of total Input CoC Material in the Material Accounting Period and shall be made up within the subsequent Material Accounting Period. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
8.11a Positive Balance (carry over)	Conformance	The Entity has a MES (Manufacturing Execution System) to manage a Positive Balance. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
8.11b Positive Balance (expiry)	Conformance	The Entity has a MES (Manufacturing Execution System) to manage a Positive Balance and the policy defines that a Positive Balance should be carried over to the subsequent Material Accounting Period before 31 December of each year. At the time of the audit, there was no example of effective implementation of the system as no 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 to compile CoC Documents for each shipment and transfer, ensuring that these are controlled, issued and stored as per ASI Chain of Custody Standard requirements. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.2a Date of issue	Conformance	The Entity uses the ASI CoC Document template, as provided in the ASI Chain of Custody Standard, the date of issue is included. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.2b Reference number	Conformance	The Entity uses the ASI CoC Document template, as provided in the ASI Chain of Custody Standard, the reference number is included. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.2c Issuing Entity	Conformance	The Entity uses the ASI CoC Document template, as provided in the ASI Chain of Custody Standard with the issuing Entity. At the time of the audit, there was no example of effective implementation of the system

CRITERION	RATING	COMMENT
		as no CoC Material was available in the Entity's Supply Chain.
9.2d Receiving customer	Conformance	The Entity uses the ASI CoC Document template, as provided in the ASI Chain of Custody Standard, the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number are included. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.2e Responsible employee	Conformance	The Entity uses the ASI CoC Document template, as provided in the ASI Chain of Custody, the responsible employee who can verify information is included. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.2f Conformance statement	Conformance	The Entity uses the ASI CoC Document template, as provided in the 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. At the time of the audit, there was no example of effective implementation of the system as no 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, as provided in the ASI Chain of Custody Standard, the types of CoC Material in the shipment are included. At the time of the audit, there was no example of effective implementation of the system as no 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, as provided in the ASI Chain of Custody Standard, the mass of CoC Material is included. At the time of the audit, there was no example of effective implementation of the system as no 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, as provided in the ASI Chain of Custody Standard, the mass of total Material is included. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.3a Sustainability Data (optional)	Conformance	The Entity uses the ASI CoC Document template, as provided in the ASI Chain of Custody Standard, the optional Sustainability Data is included. The Entity

CRITERION	RATING	COMMENT
		has established a system to calculate the GHG emissions of scope 1 and scope 2 for ASI Aluminium. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.3b Sustainability Data (passing on)	Conformance	The Entity uses the ASI CoC Document template, as provided in the ASI Chain of Custody Standard, the optional Sustainability Data is included. The Entity has established a system to calculate the GHG emissions of scope 1 and scope 2 for ASI Aluminium. At the time of the audit, there was no example of effective implementation of the system as no 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, as provided in the ASI Chain of Custody Standard, including the ASI Certification status. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.4 Supplementary Information (optional)	Conformance	The Entity uses the ASI CoC Document template, as provided in the ASI Chain of Custody Standard, there is a column for supplementary information in the document template, the Entity can provide the Supplementary Information per requirements from the customer. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
9.5 Response to verification requests	Minor Non-Conformance	The Entity has established processes and assigns responsibility for responding to requests for verification of information in CoC Documents issued by the Entity. At the time of this audit, there is no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain. However, the contact details for the requester is not indicated in the CoC Document template or equivalent documents.
9.6 Error management	Conformance	The Entity integrates error management with its current processes under ISO 9001 to manage the error and prevent recurrence.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has established processes and assigns responsibility to verify the information on received CoC Documents. At the time of the audit, there was no example of effective implementation of the system

CRITERION	RATING	COMMENT
		as no CoC Material was available in the Entity's Supply Chain.
10.2 Verify consistency with shipments	Conformance	The Entity has 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. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
10.3 Verify supplier CoC Certification status	Conformance	The Entity has assigned a Quality Department Specialist to check the ASI website on a regular basis to verify the validity and scope of the supplier's ASI CoC Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
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 measures to meet the ASI Chain of Custody Standard Criteria.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System - allocation	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.1b Link to Casthouse Products	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.1c No double counting	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.1d No Positive Balance of ASI Credits	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2a Date of issue	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2b Reference number	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2c Issuing Entity	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2d Receiving Entity	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2e Conformance statement	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.

CRITERION	RATING	COMMENT
11.2f ASI Credits statement	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.2g Quantity	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3a CoC Certification Scope - purchasing ASI Credits	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3b Material Accounting System - purchasing	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3c Expiry	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3d No re-trading	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3e No allocation to physical products	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
11.3g Five year maximum for ASI Credits purchasing	Not Applicable	The Entity does not intend to utilize the ASI Market Credits System currently.
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The Entity has established the Claims and Communications Procedure according to the ASI Chain of Custody Standard requirement. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
12.1b Verifiable evidence	Conformance	The Entity has established the Claims and Communications Procedure. The Executive Director is responsible for ensuring compliant communication with the ASI Claims Guide. At the time of the audit, there was no example of effective implementation of the system as no CoC Material was available in the Entity's Supply Chain.
12.1c Employee training	Conformance	The Entity provides training courses on claims and communications to relevant employees. Employees interviewed understood the requirement of the Claims and Communication Procedure.

Document Control and Version History

Revision	Date	Notes
0	12 January 2022	Initial Certification Audit - Full Certification