

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

TIANJIN ZHONGWANG ALUMINIUM CO.,LTD

CERTIFICATE
NUMBER

84

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

TÜV
RHEINLAND
CERT GMBH

DATE OF ISSUE

7 JULY 2020

DATE OF EXPIRY

6 JULY 2023

CERTIFIED SINCE

7 JULY 2020

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', with a long horizontal line extending to the right.

Aluminium Stewardship Initiative Ltd
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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](http://www.aluminium-
stewardship.org)*

CERTIFICATION SCOPE

Production of aluminium and aluminium alloy casting ingot, sheets and strip products (including automotive aluminium alloy materials, aerospace aluminium alloy materials, tank body and lid gripper) at Tianjin Zhongwang Aluminium Co.,Ltd., China.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

| | |
|-------------------------|---|
| MEMBER NAME | Tianjin Zhongwang Aluminium Co.,Ltd |
| ENTITY NAME | Tianjin Zhongwang Aluminium Co.,Ltd |
| CERTIFICATION SCOPE | Production of aluminium and aluminium alloy casting ingot, sheets and strip products (including automotive aluminium alloy materials, aerospace aluminium alloy materials, tank body and lid gripper) at Tianjin Zhongwang Aluminium Co.,Ltd., 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 (12 – 14 May 2020)Surveillance Audit (9 December 2021) |
| AUDIT FIRM | TÜV Rheinland Cert GmbH |
| AUDIT DATE | <ul style="list-style-type: none">12 – 14 May 2020 (Certification Audit)9 December 2021 (Surveillance Audit) |
| AUDIT REPORT SUBMISSION | <ul style="list-style-type: none">22 June 2020 (Certification Audit)23 February 2022 (Surveillance Audit) |
| AUDIT SCOPE | <p><u>Certification Audit (12 – 14 May 2020)</u></p> <p>The audit scope included the following:</p> <ol style="list-style-type: none">Production of aluminium and aluminium alloy casting ingot, sheets and strip products (including automotive aluminium alloy materials, aerospace aluminium alloy materials, tank body and lid gripper).The whole area of Tianjin Zhongwang Aluminium Co.,Ltd. except medium/thick plate workshop 1 and phase III/IV (both under construction). <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthouses |

- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

Surveillance Audit (9 December 2021)

The audit scope included the following:

1. Production of aluminium and aluminium alloy casting ingot, sheets and strip products (including automotive aluminium alloy materials, aerospace aluminium alloy materials, tank body and lid gripper).
2. The whole area of Tianjin Zhongwang Aluminium Co.,Ltd. except medium/thick plate workshop 1 and phase III/IV (both under construction).

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope

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|-------------------------------|---|
| 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 | 7 July 2020 – 6 July 2023 |
| NEXT AUDIT TYPE | Re-Certification Audit |
| NEXT AUDIT DUE DATE | 6 July 2023 |
| CERTIFICATE NUMBER | 84 |

SUMMARY OF FINDINGS

| CRITERION | RATING | COMMENT |
|--|-------------|--|
| 1 MANAGEMENT SYSTEM AND RESPONSIBILITIES | | |
| 1.1 ASI membership | Conformance | Tianjin Zhongwang Aluminium 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 holds certification for the ASI Performance Standard: https://aluminium-stewardship.org/about-asi/asi-members/tianjin-zhongwang-aluminium-co-ltd |
| 1.2 Management system | Conformance | The Entity has a Management System that addresses all applicable requirements of the CoC Standard, in all facilities under its control related to the Management of the CoC Material. The ASI Management Manual and relevant procedures and records are established. |
| 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. |
| 1.4 Management representative | Conformance | The Entity has appointed a member of management (Admin. Vice President) as the responsible person for ASI CoC Standard implementation and defined roles and responsibilities to manage the Chain of Custody system. |
| 1.5 Training | Conformance | The Entity delivers training to relevant personnel to raise awareness of the ASI Chain of Custody Standard requirements. |
| 1.6 Record keeping | Conformance | The Entity maintains up-to-date records (Management System) covering all applicable requirements. The Entity's record management procedure defines the retention time as required by the ASI Chain of Custody Standard. |
| 1.7a Reporting to ASI (Inputs and Outputs) | 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, the latest reporting is conducted in March 2021. |
| 1.7b Reporting to ASI (Input Percentage) | Conformance | The Entity's Chain of Custody Management Procedure specifies that the Entity will report required information of CoC Material to the ASI |

| CRITERION | RATING | COMMENT |
|--|----------------|---|
| | | Secretariat within 3 months after the end of each calendar year. |
| 1.7c Reporting to ASI (Positive Balance) | 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. |
| 1.7d 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'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. |
| 1.7f Reporting to ASI (ASI Credits from Casthouses) | 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. |
| 1.7g Reporting to ASI (ASI Credits purchased) | 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. |
| 2 OUTSOURCING CONTRACTORS | | |
| 2.1 Outsourcing Contractors in CoC Certification Scope | Not Applicable | This Criterion is not applicable as the Entity does not have any Outsourcing Contractors. |
| 2.2a Control of CoC Material | Not Applicable | This Criterion is not applicable as the Entity does not have any Outsourcing Contractors. |
| 2.2b No further outsourcing | Not Applicable | This Criterion is not applicable as the Entity does not have any Outsourcing Contractors. |
| 2.2c Risk assessment | Not Applicable | This Criterion is not applicable as the Entity does not have any Outsourcing Contractors. |
| 2.3 Output Quantity | Not Applicable | This Criterion is not applicable as the Entity does not have any Outsourcing Contractors. |
| 2.4 Verification and record-keeping | Not Applicable | This Criterion is not applicable as the Entity does not have any Outsourcing Contractors. |

| CRITERION | RATING | COMMENT |
|---|----------------|---|
| 2.5 Error management | Not Applicable | This 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 metal is used by the Entity which is included in the Entity's ASI CoC Certification Scope. The Entity has robust processes in place to monitor the quantities of Recycled Aluminium and designated Eligible Inputs and Non-CoC Materials in its Material Accounting System. |
| 4.1b ASI Performance Standard – Aluminium Re-Melting/Refining | Conformance | Internal scrap metal is 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/tianjin-zhongwang-aluminium-co-ltd |
| 4.2a Pre-Consumer Scrap and Dross | Conformance | The Entity Material Accounting System is designed to control and account for Eligible Scrap. At the time of the audit, no Eligible Scrap was being sourced from outside the Entity's CoC Certification Scope. |
| 4.2b Post-Consumer Scrap | Not Applicable | This Criterion is not applicable as the Entity does not source any Post-Consumer Scrap. |
| 4.3a Supplier records | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. The input material of the Aluminium Re-melting/Refining process is internal scrap, no external scrap from suppliers is purchased by the Entity. |

| CRITERION | RATING | COMMENT |
|--|----------------|--|
| 4.3b Cash payments | Not Applicable | This Criterion is not applicable as Recyclable Scrap Material is not purchased from suppliers. |
| 5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM | | |
| 5.1a CoC Certification Scope – Casthouses | Conformance | The Entity's ASI Management Manual 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 Entity's ASI Management Manual ensures production of ASI Aluminium only from the Casthouse Certified against the ASI Performance Standard. |
| 5.2 Casthouse Products | Conformance | The Entity has a Material Accounting System to link and trace the Input Quantity of CoC Material of each production process. |
| 6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM | | |
| 6.1a CoC Certification Scope – Post-Casthouse | Conformance | The Entity's ASI Management Manual 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 an ASI 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. All major next tier suppliers receive communication about the policy, and the Commitment Letters of Responsible Purchasing are signed by the suppliers. The Policy is published and accessible via: http://www.zhongwangtj.com/newsdetails.aspx?id=655&CatId=29 |
| 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 ASI Chain of Custody Criteria of responsible sourcing. All major next tier suppliers receive communication about the policy, and the Commitment Letters of Responsible Purchasing are signed by the suppliers. The Policy is published on: |

| CRITERION | RATING | COMMENT |
|--|----------------|---|
| | | http://www.zhongwangtj.com/newsdetails.aspx?id=655&CatId=29&ParentId=28 |
| 7.1c Responsible sourcing policy (human rights due diligence) | Conformance | The Entity has a Responsible Purchasing Policy, covering Human Rights Due Diligence. All major next tier suppliers receive communication about the policy, and the Commitment Letters of Responsible Purchasing are signed by the suppliers. The Policy is published on: http://www.zhongwangtj.com/newsdetails.aspx?id=655&CatId=29&ParentId=28 |
| 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 and relevant training is provided to employees. All major next tier suppliers receive communication about the policy, and the Commitment Letters of Non-Conflict Mineral are signed by the suppliers. The Policy is published on: http://www.zhongwangtj.com/newsdetails.aspx?id=655&CatId=29&ParentId=28 |
| 7.2 Risk assessment | Conformance | The Entity has conducted investigations for all major suppliers as Due Diligence on the Chain of Custody Criteria, and has a process to verify the result of the Due Diligence. The Entity has conducted risk assessment for the suppliers, the risk assessment is based on the result of the Due Diligence. |
| 7.3 Complaints mechanism | Conformance | The Entity has established a Complaints Resolution Mechanism that allows interested parties to voice concerns about non-compliance with its responsible sourcing policy in its Aluminium supply chain via: http://www.zhongwangtj.com/newsdetails.aspx?id=655&CatId=29&ParentId=28 The complaints channel is included in the responsible sourcing policy. |
| 8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM | | |
| 8.1 Material Accounting System | Conformance | The Entity has established a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass, the Output Quantity is balanced with the Input Quantity. |
| 8.2a Post-Consumer Scrap | Not Applicable | This Criterion is not applicable as the Entity does not use Post-Consumer Scrap. |

| CRITERION | RATING | COMMENT |
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| 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 conforms to ASI Chain of Custody Standard requirements. |
| 8.2c Pre-Consumer Scrap (Eligible Scrap) | Conformance | The quantity of the Eligible Scrap generated by its own manufacture processes and other companies is recorded in the Material Accounting System. |
| 8.3 Material Accounting Period | Conformance | The Material Accounting Period is defined as 12 months for a calendar year. |
| 8.4 Input Percentage | Conformance | The Entity has established processes to calculate and record the Input Percentage. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available. |
| 8.5 Input Percentage (Aluminium Re-Melting and Refining) | Conformance | The Entity has established processes to calculate and record the Input Percentage of the Aluminium Re-Melting/Refining process. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |
| 8.6 Output Quantity determination | Conformance | The Entity has established a Material Accounting System to determine the Output Quantity of CoC Material. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |
| 8.7 Output Quantity designation | Conformance | The Entity has established a Material Accounting System 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 ASI CoC Material was available in the Entity's supply chain. |
| 8.8 Output Quantity – Pre-Consumer Scrap | Conformance | The Entity has established a Material Accounting System 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 ASI CoC Material was available in the Entity's supply chain. |
| 8.9 Outputs not exceed inputs | Conformance | The Entity's Material Accounting System has been developed to provide updated information on inventory balance on a frequent basis . At the time of the audit, there was no example of effective implementation of the system as no ASI |

| CRITERION | RATING | COMMENT |
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| | | 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 ASI Chain of Custody Standard requirements. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |
| 8.10b Internal Overdraws (not exceed affected amount) | Conformance | The Entity has established a Material Accounting System in compliance with ASI Chain of Custody Standard requirements. At the time of the audit, there was no example 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 was no example 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 was no example 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 was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |
| 9 ISSUING COC DOCUMENTS | | |
| 9.1 Shipments and transfers | Conformance | The Entity has a system that can compile the CoC Documents of each shipment and transfer, ensuring these are controlled, issued and stored. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |

| CRITERION | RATING | COMMENT |
|----------------------------|-------------|--|
| 9.2a Date of issue | Conformance | The Entity uses the ASI CoC Document template as provided in the ASI Chain of Custody Standard and the date of issue is included. At the time of the audit, there was no example 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 as provided in the ASI Chain of Custody Standard and the reference number is included. At the time of the audit, there was no example 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 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 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 as provided in the ASI Chain of Custody Standard which includes information of the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number. At the time of the audit, there was no example 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 as provided in the ASI Chain of Custody Standard which includes the responsible employee who can verify information. At the time of the audit, there was no example 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 as provided in the ASI Chain of Custody Standard which includes the statement confirming that "The information provided in the CoC Document is in conformance with the ASI CoC Standard". At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |

| CRITERION | RATING | COMMENT |
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| 9.2g Type of CoC Material | Conformance | The Entity uses the ASI CoC Document template as provided in the ASI Chain of Custody Standard which includes the types of CoC Materials in the shipment. At the time of the audit, there was no example 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 as provided in the ASI Chain of Custody Standard and 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 ASI CoC Material was available in the Entity's supply chain. |
| 9.2i Mass of total material | Conformance | The Entity uses ASI CoC Document template in the ASI CoC Standard and 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 ASI CoC Material was available in the Entity's supply chain. |
| 9.3a Sustainability Data (optional) | Conformance | The Entity uses ASI CoC Document template in the ASI CoC Standard, which includes the optional Sustainability Data. 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 ASI CoC Material was available in the Entity's supply chain. |
| 9.3b Sustainability Data (passing on) | Conformance | The Entity uses ASI CoC Document template in the ASI CoC Standard, which includes the optional Sustainability Data. 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 ASI CoC Material was available in the Entity's supply chain. |
| 9.3c Post-Casthouse ASI Certification status | Conformance | The Entity uses ASI CoC Document template in the ASI CoC Standard, and includes the Entity's ASI Certification status. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |

| CRITERION | RATING | COMMENT |
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| 9.4 Supplementary Information (optional) | Conformance | The Entity uses ASI CoC Document template in the ASI CoC Standard, and there is a column for Supplementary Information where the Entity can provide information as per customer requirements. At the time of the audit, there was no example 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 established processes and assigns the responsibility for responding to the verification of information in CoC Documents issued by the Entity. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |
| 9.6 Error management | Conformance | The Entity integrates error management with its current processes under ISO 9001 to document and manage with the error and prevent it from recurrence. |
| 10 RECEIVING COC DOCUMENTS | | |
| 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 was no example of effective implementation of the system as no ASI CoC Materials was available in the Entity's supply chain. |
| 10.2 Verify consistency with shipments | Conformance | The Entity established processes and assigns the responsibility for the verification 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 ASI CoC Material was available in the Entity's supply chain. |
| 10.3 Verify supplier CoC Certification status | Conformance | The Entity has established processes to ensure suppliers have a valid ASI Certification and trigger adequate processes if any changes occur to their status. The process will be managed by the Supply Department. |
| 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, |

| CRITERION | RATING | COMMENT |
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| | | corrective actions and any potential preventive measures. |
| 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. |
| 11.1b Link to Casthouse Products | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.1c No double counting | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.1d No Positive Balance for ASI Credits | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.2a Date of issue | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.2b Reference number | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.2c Issuing Entity | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.2d Receiving Entity | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.2e Conformance statement | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.2f ASI Credits statement | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.2g Quantity | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.3a CoC Certification Scope – purchasing ASI Credits | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.3b Material Accounting System – purchasing | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.3c Expiry | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.3d No re-trading | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.3e No allocation to physical products | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |
| 11.3f Verify supplier CoC Certification status | Not Applicable | The Entity does not intend to utilize the ASI Market Credits System. |

| CRITERION | RATING | COMMENT |
|---|----------------|--|
| 11.3g Five years maximum for ASI Credits purchasing | Not Applicable | 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 Entity has established a Claims and Communication Procedure. At the time of the audit, there was no example of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain. |
| 12.1b Verifiable evidence | Conformance | The responsibility of claims and communication is defined and the Entity has established a Claims and Communication Procedure. The Vice President (management representative) is assigned to ensure 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 ASI CoC Material was available in the Entity's supply chain. |
| 12.1c Employee training | Conformance | The Entity provided training courses on claims and communication to relevant employees in April 2020. |

Document Control and Version History

| Revision | Date | Notes |
|----------|---------------|-----------------------------|
| 0 | 7 July 2020 | Issued (Full Certification) |
| 1 | 22 March 2022 | Surveillance audit |