

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

UACJ CORPORATION

CERTIFICATE
NUMBER

187

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

ERM
CERTIFICATION
AND
VERIFICATION
SERVICES

DATE OF ISSUE

10 MARCH 2022

DATE OF EXPIRY

9 MARCH 2025

CERTIFIED SINCE

10 MARCH 2022

AUTHORISED BY

A white handwritten signature on a dark grey background.

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
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*Validity of this Certificate is subject to continued
conformance with the applicable ASI Standard
and can be verified at*

www.aluminium-stewardship.org

CERTIFICATION SCOPE

Manufacture of aluminium plate products at Fukui Works, Japan and UACJ (Thailand) Co., Ltd., Thailand.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME UACJ Corporation

ENTITY NAME UACJ Corporation

CERTIFICATION SCOPE Manufacture of aluminium plate products at Fukui Works, Japan and UACJ (Thailand) Co., Ltd., Thailand.

SUPPLY CHAIN ACTIVITIES

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

ASI STANDARD

- Chain of Custody Standard V1

AUDIT TYPE

- Initial Certification Audit

AUDIT FIRM ERM Certification and Verification Services

AUDIT DATE 25 October – 5 November 2021

AUDIT REPORT SUBMISSION 7 February 2022

AUDIT SCOPE The audit scope covers the manufacture of aluminium plate products at Fukui Works, Japan and UACJ (Thailand) Co., Ltd., Thailand.

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Material Conversion (Production and Transformation)

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

At the time of the Audit (October – November 2021), access to the site was not possible, due to COVID-19 related travel restrictions. The Audit has been undertaken as a 'desktop' exercise, in accordance with ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation.

AUDIT OUTCOME

- Certification

AUDIT
METHODOLOGY
DECLARATION

The Auditors confirm that:

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

CERTIFICATION
PERIOD

10 March 2022 – 9 March 2025

NEXT AUDIT
TYPE

Surveillance Audit

NEXT AUDIT
DUE DATE

9 September 2023

CERTIFICATION
NUMBER

187

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an ASI Member in the Production and Transformation class.
1.2 Management system	Conformance	The Entity has an established CoC Management System. The ASI CoC Standard Management Guideline and ASI CoC Operation Management Procedure have been created to manage and comply with all applicable requirements.
1.3 Management system reviews	Conformance	The Entity has established an internal review and update process for its Management System. The ASI CoC Standard Management Guideline establishes the requirement to review and update the system annually and the ASI CoC Operation Management Procedure requires an internal review and update every three years, led by the Management Representative for CoC management.
1.4 Management representative	Conformance	The Entity's Quality Assurance Division General Manager has been appointed as the Management Representative who has overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Training	Conformance	The communication and training procedure for relevant personnel is regulated by the ASI CoC Standard Management Guideline. The initial training has been conducted for relevant personnel, who were nominated by department managers and participation is recorded by employee signatures.
1.6 Record keeping	Conformance	The records for applicable requirements is regulated in the Entity's ASI CoC Standard Management Guideline for retention of a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has established a procedure to report to the ASI Secretariat within three months after the end of each calendar year. The Quality Assurance Division and site-based Accounting Department have the responsibility to create and submit to the Cooperate Strategy Division the internal report based on material balance records. The report contents are defined in the ASI CoC Standard Management Guideline.
1.7b Reporting to ASI (Input Percentage)	Conformance	Input Percentage/s is defined in the Entity's ASI CoC Standard Management Guideline as a required information for submission to the ASI Secretariat.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Positive Balance)	Conformance	The maximum Positive Balance is defined in the Entity's ASI CoC Standard Management Guideline as a required information for submission to the ASI Secretariat.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The maximum Internal Overdraw is defined in the Entity's ASI CoC Standard Management Guideline as a required information for submission to the ASI Secretariat.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Input Quantity of Eligible Scrap with breakdown data is defined in the Entity's ASI CoC Standard Management Guideline as a required information for submission to the ASI Secretariat.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	The quantity of ASI Aluminium allocated to ASI Credits is defined in the Entity's ASI CoC Standard Management Guideline as a required information for submission to the ASI Secretariat. So far, the Entity has no plan to purchase ASI Credits.
1.7g Reporting to ASI (ASI Credits purchased)	Conformance	The quantity of ASI Credits purchased is defined in the Entity's ASI CoC Standard Management Guideline as a required information for submission to the ASI Secretariat. So far, the Entity has no plan to purchase ASI Credits.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is no applicable as there are no Outsourced Contractors for further processing, treatment or manufacturing.
2.2a Control of CoC Material	Not Applicable	This Criterion is no applicable as there are no Outsourced Contractors for further processing, treatment or manufacturing.
2.2b No further outsourcing	Not Applicable	This Criterion is no applicable as there are no Outsourced Contractors for further processing, treatment or manufacturing.
2.2c Risk assessment	Not Applicable	This Criterion is no applicable as there are no Outsourced Contractors for further processing, treatment or manufacturing.
2.3 Output Quantity	Not Applicable	This Criterion is no applicable as there are no Outsourced Contractors for further processing, treatment or manufacturing.
2.4 Verification and record-keeping	Not Applicable	This Criterion is no applicable as there are no Outsourced Contractors for further processing, treatment or manufacturing.

CRITERION	RATING	COMMENT
2.5 Error management	Not Applicable	This Criterion is no applicable as there are no Outsourced Contractors for 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	Conformance	The Entity has established an identification procedure to distinguish ASI Liquid Metal from other liquid metals and implements a system to ensure that ASI Liquid Metal is produced only from Facilities that are within the Entity's CoC Certification Scope, and/or in which the Entity holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity. The Purchasing Division has the responsibility to assess all liquid metal inputs, and to distinguish ASI Liquid Metal.
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Conformance	The Entity's identification procedure includes a confirmation process of ASI Liquid Metal produced from Facilities, certified against the ASI Performance Standard.
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity has established an identification procedure to distinguish Eligible Scrap in its Material Accounting System as 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 subject to supplier due diligence. The Purchasing Division has the responsibility to assess all scraps, (i.e. Pre-Consumer Scrap, Post-Consumer Scrap and treated Dross residues, and therefore can determine Eligible Scrap).

CRITERION	RATING	COMMENT
4.2b Post-Consumer Scrap	Conformance	The Entity's identification procedure includes a confirmation process of Post-Consumer Scrap from Entities within the CoC Certification Scope, that accounts for Eligible Scrap in its Material Accounting System as only Post-Consumer Scrap subject to supplier due diligence, to be assessed by the Entity as post-consumer in origin.
4.3a Supplier records	Conformance	The Entity has implemented a system that monitors the suppliers of Recyclable Scrap Material and records the identity, principals and place/s of operation of all direct suppliers.
4.3b Cash payments	Conformance	The Entity records all financial transactions with direct suppliers of Recyclable Scrap Material and any cash payments are managed within the relevant defined financial threshold under Applicable Law or USD10,000 (or equivalent). Cash transactions do not take place at UACJ Thailand.

5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a CoC Certification Scope - Casthouses	Conformance	The Production Control System includes a CoC Material Accounting Sheet and procedure designed to ensure that ASI Aluminium is produced only from Casthouses within the CoC Certification Scope. The detail is described in the ASI CoC Operation Management Procedure.
5.1b ASI Performance Standard - Casthouses	Conformance	The Entity has systems in place to ensure that ASI Aluminium is produced only from Casthouses that are certified against the ASI Performance Standard (PS). The Entity is due for PS Certification in Q1 2022.
5.2 Casthouse Products	Conformance	Casthouse Products have unique identification numbers in the Production Control System to ensure that ASI Aluminium is securely identifiable and traceable. The mass balance of Output Quantity from the Casthouse and Input Quantity of CoC Material is controlled in the CoC Material Accounting Sheet. The controlling procedure of mass balance is described in the ASI CoC Operation Management Procedure.

6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Entity's Production Control System includes a CoC Material Accounting Sheet and procedure designed to ensure that ASI Aluminium produced from the Post-Casthouse rolling, finishing and packaging facilities of the Fukui Works site remains within the CoC Certification Scope.
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CRITERION	RATING	COMMENT
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity had its initial ASI Certification Audit for the ASI Performance Standard and the Chain of Custody Standard in November 2021 and expects to conclude this process in Q1 2022.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has established an identification procedure for CoC Materials, including a confirmation procedure for ASI CoC Certified Entities supplying material. The identification and confirmation procedure is applied for the receiving of CoC Material for Post-Casthouse facilities.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity's Procurement Guideline includes its Anti-Corruption policy. The Entity conducts Due Diligence of its suppliers of Non-CoC Material and Recyclable Scrap Material, based on the UACJ Group Due Diligence Policy and the CoC Management and Due Diligence Procedure for Material Suppliers. All suppliers are requested to acknowledge the Entity's Procurement Guidelines, which are also communicated on its website: https://www.uacj.co.jp/english/csr/social/supplier.htm
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has implemented the UACJ CSR Deployment Guideline which includes a Responsible Sourcing Policy. The Policy is posted on the Entity website and is included in regular internal policy communications as well as to external suppliers of Non-CoC Material and Recyclable Scrap Material through the procurement process.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has implemented the UACJ Group CSR Deployment Guideline which includes Human Rights Due Diligence requirements. The Policy and Guideline is communicated to suppliers of Non-CoC Material and Recyclable Scrap Material.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity's Group CSR Deployment Guideline includes policy criteria for Conflict-Affected and High-Risk Areas, as per criteria set out in the ASI Performance Standard which forms part of its Responsible Sourcing Policy. The Policy is communicated to suppliers of Non-CoC Material and Recyclable Scrap Material and available on the website: https://www.uacj.co.jp/english/csr/social/supplier.htm
7.2 Risk assessment	Minor Non-Conformance	Supplier audits have been conducted for important suppliers of Non-CoC Material and Recyclable Scrap Material, based on the Entity's Due Diligence and audit procedure. The audit is conducted via a

CRITERION	RATING	COMMENT
		questionnaire which addresses all relevant criteria. When risks are identified through the audit, suppliers are requested to implement control measures and are approved to continue when implementation plans satisfy the Entity, usually via post-audit email exchange. However, confirmation records are not documented in the audit questionnaire.
7.3 Complaints mechanism	Conformance	The Entity has established a Complaints Mechanism to raise concerns through different channels, including an Ethics Hotline and the contact details on the company webpage: https://www.uacj.co.jp/english/inquiry
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has an established Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by Mass Balance, described in the ASI CoC Standard Management Guideline and the ASI CoC Operation Management Procedure.
8.2a Post-Consumer Scrap	Conformance	The Input Quantity of Post-Consumer Scrap is entered into the Entity's Material Accounting System, as defined in the ASI CoC Standard Management Guideline and the ASI CoC Operation Management Procedure.
8.2b Pre-Consumer Scrap (total)	Conformance	The Input Quantity of Pre-Consumer recyclable Scrap is entered into the Entity's Material Accounting System, as defined in the ASI CoC Operation Management Procedure to record, report and document the material flow.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Input Quantity of Post-Consumer Scrap is entered into the Entity's Material Accounting System, as defined in the ASI CoC Operation Management Procedure to record, report and document the material flow.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as one year from January to December in the Entity's ASI CoC Standard Management Guideline and the ASI CoC Operation Management Procedure.
8.4 Input Percentage	Conformance	The Input Percentage for the Material Accounting Period is automatically calculated and recorded in the Entity's CoC Material Accounting Sheet, in accordance with the ASI CoC Standard Management Guideline and the ASI CoC Operation Management Procedure.

CRITERION	RATING	COMMENT
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Conformance	The Input Percentage for Re-Melting/Refining for the Material Accounting Period is calculated and recorded in the Entity's CoC Material Accounting Sheet, in accordance with the ASI CoC Standard Management Guideline and the ASI CoC Operation Management Procedure.
8.6 Output Quantity determination	Conformance	The Input Percentage for the Material Accounting Period is used to determine the Output Quantity of CoC Material by mass, as defined in the Entity's ASI CoC Standard Management Guideline and CoC Material Accounting Sheet.
8.7 Output Quantity designation	Conformance	The Output Quantity of the Entity's CoC Material is designated as 100% CoC Material, as defined in the CoC Material Accounting Sheet.
8.8 Output Quantity - Pre-Consumer Scrap	Not Applicable	The Criterion is not applicable as the Entity does not produce Pre-Consumer Scrap.
8.9 Outputs not exceed Inputs	Conformance	It is a requirement that the total output of CoC Material does not proportionally exceed the Input Percentage as applied to total input of CoC Material and Eligible Scrap for the Material Accounting Period, as defined in the ASI CoC Standard Management Guideline and the CoC Material Accounting Sheet.
8.10a Internal Overdraws (not exceed 20%)	Conformance	It is a requirement that the Internal Overdraw does not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period, as defined in the ASI CoC Standard Management Guideline, even under force majeure situations. The Entity has an internal assessment procedure and conducts an assessment in Q4 each year to maintain the Internal Overdraw below 20%.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity's Material Accounting System allows for the carry over of an Internal Overdraw to the subsequent Material Accounting Period that does not exceed the amount of CoC Material under contract for delivery that may be affected by a force majeure situation, as defined in the ASI CoC Standard Management Guideline.
8.10c Internal Overdraws (period to make up)	Conformance	It is a requirement that the additional Internal Overdraw resulting from a force majeure situation is made up within the subsequent Material Accounting Period, as defined in the ASI CoC Standard Management Guideline.
8.11a Positive Balance (carry over)	Conformance	The Entity's CoC Material Accounting Sheet includes a field that captures the quantity of any carry over of

CRITERION	RATING	COMMENT
		a Positive Balance identified at the end of the Material Accounting Period.
8.11b Positive Balance (expiry)	Conformance	The Entity's Material Accounting System requires that a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period, expires at the end of that Period if not drawn down.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity had established a Standard Operating Procedure for the issue of a CoC Document for each shipment or transfer of CoC Material. Responsibility of each related party is described at the ASI CoC Standard Management Guideline and the detailed procedure is described at the ASI CoC Operation Management Procedure.
9.2a Date of issue	Conformance	The Entity's CoC Document template is designed to include all required information, including date of issue. The required information is described in the ASI CoC Operation Management Procedure.
9.2b Reference number	Conformance	The Entity's CoC Document template is designed to include a reference number for the CoC Document, linked to the Entity's Material Accounting System for verification purposes.
9.2c Issuing Entity	Conformance	The Entity's CoC Document template is designed to include the identity, address and CoC Certification number of the Entity issuing the CoC Document.
9.2d Receiving customer	Conformance	The Entity's CoC Document template is designed to include the identity and address of the customer receiving the CoC Material and, if it is another CoC Certified Entity, its CoC Certification number.
9.2e Responsible employee	Conformance	The Entity's CoC Document template is designed to include the responsible employee of the Entity who can verify information in the CoC Document.
9.2f Conformance statement	Conformance	The Entity's CoC Document template is designed to include a statement confirming that "The information provided in the CoC Document is in conformance with the ASI CoC Standard."
9.2g Type of CoC Material	Conformance	The Entity's CoC Document template is designed to include the type of CoC Material in the shipment.
9.2h Mass of CoC Material	Conformance	The Entity's CoC Document template is designed to include the mass of CoC Material in the shipment.

CRITERION	RATING	COMMENT
9.2i Mass of total material	Conformance	The Entity's CoC Document template is designed to include the mass of total Material in the shipment.
9.3a Sustainability Data (optional)	Conformance	Sustainability Data is required to be provided by the Entity in the CoC Document, as defined in the ASI CoC Operation Management Procedure to include the average intensity of GHG emissions (tonnes CO ₂ –eq per metric tonne ASI Aluminium) of CoC Material produced in the Material Accounting Period.
9.3b Sustainability Data (passing on)	Conformance	Sustainability Data is required to be provided by the Entity in the CoC Document, as defined in the ASI CoC Operation Management Procedure to include the average intensity of GHG emissions (tonnes CO ₂ –eq per metric tonne ASI Aluminium) based on the information provided in received CoC Document/s.
9.3c Post-Casthouse ASI Certification status	Conformance	Sustainability Data is required to be provided by the Entity in the CoC Document, as defined in the ASI CoC Operation Management Procedure to include the ASI Performance Standard Certification status of the Entity issuing the CoC Document.
9.4 Supplementary Information (optional)	Conformance	The Entity's ASI CoC Operation Management Procedure requires that Supplementary Information about the Entity or CoC Material is supported with objective evidence.
9.5 Response to verification requests	Conformance	The Entity's Quality Assurance Division has a responsibility to respond to reasonable requests, under the instruction of Quality Assurance Division General Manager, who is appointed as the Management Representative of CoC management. All necessary information is available in the Entity's Production Control System.
9.6 Error management	Conformance	The Entity's investigation and reporting requirement, as part of its Corrective/Preventive Action Procedure, requires root causes to be identified and control measures implemented if errors are identified after a CoC Material shipment. The Entity has established an internal audit system to ensure that errors are identified and responded to in this way.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity had established a Verification Procedure to verify that all required information is included in received CoC Documents. The Purchasing Division of the Entity's Head Office holds the responsibility for the verification.

CRITERION	RATING	COMMENT
10.2 Verify consistency with shipments	Conformance	The Entity had established a Verification Procedure to the consistency of received CoC Documents with the accompanying CoC Material. The Quality Assurance Division has the responsibility for this verification before information is recorded in the Material Accounting System.
10.3 Verify supplier CoC Certification status	Conformance	When CoC Material is procured, the Entity confirms there is no change in the supplier's ASI CoC Certification status. The Entity's CoC Verification Procedure includes a measure to access the ASI website to check the validity and scope of the supplier's status.
10.4 Error management	Conformance	The Entity's investigation and reporting requirement, as part of its Corrective/Preventive Action Procedure, requires root causes to be identified and control measures implemented if errors are discovered after receiving CoC Material.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.1b Link to Casthouse Products	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.1c No double counting	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.1d No Positive Balance for ASI Credits	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.

CRITERION	RATING	COMMENT
11.2a Date of issue	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.2b Reference number	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.2c Issuing Entity	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.2d Receiving Entity	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.2e Conformance statement	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.2f ASI Credits statement	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term.
11.2g Quantity	Conformance	The Entity has established the ASI CoC Standards Control Rules which stipulate requirements to be met in the allocation of ASI Aluminium to ASI Credits accounted for in the Entity's Material Accounting System. The Rules are adopted at the Fukui Works

CRITERION	RATING	COMMENT
		site and are due for implementation at UACJ Thailand over the medium term.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	The Entity does not currently purchase ASI Credits for its Post-Casthouse activity and has no future plan to do so.
11.3b Material Accounting System – purchasing	Not Applicable	The Entity does not currently purchase ASI Credits for its Post-Casthouse activity and has no future plan to do so.
11.3c Expiry	Not Applicable	The Entity does not currently purchase ASI Credits for its Post-Casthouse activity and has no future plan to do so.
11.3d No re-trading	Not Applicable	The Entity does not currently purchase ASI Credits for its Post-Casthouse activity and has no future plan to do so.
11.3e No allocation to physical products	Not Applicable	The Entity does not currently purchase ASI Credits for its Post-Casthouse activity and has no future plan to do so.
11.3f Verify supplier CoC Certification status	Not Applicable	The Entity does not currently purchase ASI Credits for its Post-Casthouse activity and has no future plan to do so.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	The Entity does not currently purchase ASI Credits for its Post-Casthouse activity and has no future plan to do so.

12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity has not made any claims and/or representations about CoC Material outside of CoC Documents, or about ASI Credits outside of ASI Credits Certificates. Rules have been developed to ensure that such claims are consistent with the ASI Claims Guide, that verifiable evidence will be provided to support claims made and that training is provided for relevant employees to make such claims. The Rules have been adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term
12.1b Verifiable evidence	Conformance	The Entity has not made any claims and/or representations about CoC Material outside of CoC Documents, or about ASI Credits outside of ASI Credits Certificates. Rules have been developed to ensure that such claims are consistent with the ASI Claims Guide, that verifiable evidence will be provided to support claims made and that training is provided for relevant employees to make such claims. The Rules have been adopted at the Fukui

CRITERION	RATING	COMMENT
		Works site and are due for implementation at UACJ Thailand over the medium term
12.1c Employee training	Conformance	The Entity has not made any claims and/or representations about CoC Material outside of CoC Documents, or about ASI Credits outside of ASI Credits Certificates. Rules have been developed to ensure that such claims are consistent with the ASI Claims Guide, that verifiable evidence will be provided to support claims made and that training is provided for relevant employees to make such claims. The Rules have been adopted at the Fukui Works site and are due for implementation at UACJ Thailand over the medium term

Document Control and Version History

Revision	Date	Notes
0	10 March 2022	Initial Certification Audit - Full Certification