

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# NOVELIS KOREA LIMITED

CERTIFICATE NUMBER	ASI STANDARD	CERTIFICATION LEVEL	ASI ACCREDITED AUDITOR
184	CHAIN OF CUSTODY (V1 2017)	FULL CERTIFICATION	DNV BUSINESS ASSURANCE SERVICES UK LTD.
DATE OF ISSUE	DATE OF EXPIRY	CERTIFIED SINCE	
8 FEBRUARY 2022	7 FEBRUARY 2025	8 FEBRUARY 2022	

AUTHORISED BY

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

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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

The manufacture of aluminium and aluminium coil and sheet which includes the processes of recycling and remelting at the Yeongju Plant, Korea and the Joint Venture site, Ulsan Aluminum, Korea.

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Novelis Inc.
ENTITY NAME	Novelis Korea Limited
CERTIFICATION SCOPE	The manufacture of aluminium and aluminium coil and sheet which includes the processes of recycling and remelting at the Yeongju Plant, Korea and the Joint Venture site, Ulsan Aluminum, Korea.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Chain of Custody Standard V1</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit (10 – 14 January 2022)</li><li>Scope Change Audit (24 – 27 May 2022)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>10 – 14 January 2022 (Initial Certification Audit)</li><li>24 – 27 May 2022 (Scope Change Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>27 January 2022 (Initial Certification Audit)</li><li>6 June 2022 (Scope Change Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (10 – 14 January 2022)</u></p> <p>The audit scope covered the manufacture of aluminium and aluminium coil and sheet which includes the processes of recycling and remelting at the Yeongju Plant, Korea.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse</li></ul> <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Scope Change Audit (24 – 27 May 2022)</u></p>

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The audit scope included Novelis Korea Limited's Joint Venture site, Ulsan Aluminum Limited, Korea.

Supply chain activities included in the audit scope:

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

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

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AUDIT  
OUTCOME

- Certification

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AUDIT  
METHODOLOGY  
DECLARATION

The Auditors confirm that:

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

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CERTIFICATION  
PERIOD

8 February 2022 – 7 February 2025

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NEXT AUDIT  
TYPE

Surveillance Audit

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NEXT AUDIT  
DUE DATE

8 August 2023

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CERTIFICATION  
NUMBER

184

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entities (Novelis Korea Limited and Ulsan Aluminum Limited) are active ASI Members in the Production and Transformation class, committed to comply with ASI's membership obligations and the ASI Complaints Mechanism:: <a href="https://aluminium-stewardship.org/about-asi/asi-members/novelis-inc">https://aluminium-stewardship.org/about-asi/asi-members/novelis-inc</a> <a href="https://aluminium-stewardship.org/about-asi/asi-members/ulsan-aluminum-limited">https://aluminium-stewardship.org/about-asi/asi-members/ulsan-aluminum-limited</a>
1.2 Management system	Conformance	The Entity has established and maintained the ASI CoC Management System which addresses all applicable requirements of the ASI Chain of Custody Standard in all Facilities under the Control of the Entity. The Entity's ASI CoC Management Systems are developed to handle and manage CoC Materials. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
1.3 Management system reviews	Conformance	The Entity has implemented an annual review process for the ASI CoC Management System to assess the effectiveness of the ASI CoC management and address potential areas of non-conformance and improvement. The first annual management system review is planned for October 2022.
1.4 Management representative	Conformance	The Entity has nominated senior management members as ASI Management Representatives (Vice President of Metal Procurement, Plant Managers in Yeongju and Ulsan) with the overall responsibility for conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Training	Conformance	The Entity provides relevant personnel with training to raise awareness and competency in the ASI Chain of Custody Standard requirements, and their related roles and responsibilities under the ASI CoC Management System.
1.6 Record keeping	Conformance	The Entity has established the Recording, Reporting and Documentation Procedure which addresses the retention period of five years for documents and records related to ASI CoC practices and performance.
1.7a Reporting to ASI (Inputs and Outputs)	Not Applicable	The Entity has established the Recording, Reporting and Documentation Procedure for annual reporting to the ASI Secretariat. This Criterion is not applicable as the reporting of data has not yet been required.

CRITERION	RATING	COMMENT
1.7b Reporting to ASI (Input Percentage)	Not Applicable	The Entity has established the Recording, Reporting and Documentation Procedure for annual reporting to the ASI Secretariat. This Criterion is not applicable as the reporting of data has not yet been required.
1.7c Reporting to ASI (Positive Balance)	Not Applicable	The Entity has established the Recording, Reporting and Documentation Procedure for annual reporting to the ASI Secretariat. This Criterion is not applicable as the reporting of data has not yet been required.
1.7d Reporting to ASI (Internal Overdraw)	Not Applicable	The Entity has established the Recording, Reporting and Documentation Procedure for annual reporting to the ASI Secretariat. This Criterion is not applicable as the reporting of data has not yet been required.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	The Entity has established the Recording, Reporting and Documentation Procedure for annual reporting to the ASI Secretariat. This Criterion is not applicable as the reporting of data has not yet been required.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	The Entity has established the Recording, Reporting and Documentation Procedure for annual reporting to the ASI Secretariat. This Criterion is not applicable as the reporting of data has not yet been required.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	The Entity has established the Recording, Reporting and Documentation Procedure for annual reporting to the ASI Secretariat. This Criterion is not applicable as the reporting of data has not yet been required.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Criterion is not applicable as the Entity does not intend to use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2a Control of CoC Material	Not Applicable	The Criterion is not applicable as the Entity does not intend to use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2b No further outsourcing	Not Applicable	The Criterion is not applicable as the Entity does not intend to use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2c Risk assessment	Not Applicable	The Criterion is not applicable as the Entity does not intend to use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.3 Output Quantity	Not Applicable	The Criterion is not applicable as the Entity does not intend to use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.

CRITERION	RATING	COMMENT
2.4 Verification and record-keeping	Not Applicable	The Criterion is not applicable as the Entity does not intend to use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.5 Error management	Not Applicable	The Criterion is not applicable as the Entity does not intend to use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
<b>3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL</b>		
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.
<b>4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL</b>		
4.1a CoC Certification Scope - Aluminium Re-Melting/Refining	Conformance	The Entity produces ASI Liquid Metal only from within its CoC Certification Scope. . ASI Liquid Metal is not sourced from other CoC Certified Entities.
4.1b ASI Performance Standard - Aluminium Re-Melting/Refining	Conformance	The Entity produces ASI Liquid Metal only from within its CoC Certification Scope and the Entity is certified against the ASI Performance Standard. Refer to the following links for Novelis Korea Limited and Ulsan Aluminum Limited: <a href="https://aluminium-stewardship.org/wp-content/uploads/2021/07/ASI-Summary-Audit-Report-Novelis-Korea-Limited-Certificate-140-PS.pdf">https://aluminium-stewardship.org/wp-content/uploads/2021/07/ASI-Summary-Audit-Report-Novelis-Korea-Limited-Certificate-140-PS.pdf</a> <a href="https://aluminium-stewardship.org/wp-content/uploads/2021/12/ASI-Summary-Audit-Report-Ulsan-Aluminum-Certificate-159-PS.pdf">https://aluminium-stewardship.org/wp-content/uploads/2021/12/ASI-Summary-Audit-Report-Ulsan-Aluminum-Certificate-159-PS.pdf</a>
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity has established a Due Diligence and Risk Management Procedure and a list of suppliers providing Pre-Consumer Scrap, Aluminium (Secondary Ingots) recovered from Dross and Post-Consumer Scrap is established and maintained. The Entity's Manufacturing Execution System (MES) manages input, output and balances of Pre-Consumer Scrap,

CRITERION	RATING	COMMENT
		Aluminium recovered from Dross and Post-Consumer Scrap.
4.2b Post-Consumer Scrap	Conformance	The Entity has established a Due Diligence and Risk Management Procedure and Due Diligence of Post-Consumer Scrap suppliers is implemented. The Entity's Manufacturing Execution System (MES) manages input, output and balances of Post-Consumer Scrap by suppliers.
4.3a Supplier records	Conformance	The Entity has an ASI Scrap Supplier Master List linked with the Entity's Digital Account System which is updated by the Entity to monitor suppliers of recyclable scrap, and it includes identity, principals, and places of operation of all direct suppliers for Recyclable Scrap Materials.
4.3b Cash payments	Not Applicable	This Criterion is not applicable as the Entity does not make cash payments, as defined in the Due Diligence and Risk Management Procedure.

#### 5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a CoC Certification Scope - Casthouses	Conformance	The Entity has an ASI Mass Balance Process which ensures 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 produces ASI Aluminium only from the Casthouse that is within the Entity's CoC Certification Scope and the Entity is certified against the ASI Performance Standard. Refer to the following links for Novelis Korea Limited and Ulsan Aluminum Limited: <a href="https://aluminium-stewardship.org/wp-content/uploads/2021/07/ASI-Summary-Audit-Report-Novelis-Korea-Limited-Certificate-140-PS.pdf">https://aluminium-stewardship.org/wp-content/uploads/2021/07/ASI-Summary-Audit-Report-Novelis-Korea-Limited-Certificate-140-PS.pdf</a> <a href="https://aluminium-stewardship.org/wp-content/uploads/2021/12/ASI-Summary-Audit-Report-Ulsan-Aluminum-Certificate-159-PS.pdf">https://aluminium-stewardship.org/wp-content/uploads/2021/12/ASI-Summary-Audit-Report-Ulsan-Aluminum-Certificate-159-PS.pdf</a>
5.2 Casthouse Products	Conformance	The Entity has an ASI Mass Balance Process which requires identification numbers to be given to the Entity's Casthouse product (Slabs). Unique identification numbers (manual marking) are given to the Entity's Casthouse product and the identification numbers are linked with the Entity's Material Accounting System to trace Input Quantity of CoC Material.

#### 6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Entity has established an ASI System Responsibility procedure to ensure production of ASI Aluminium is only from the Facility within the Entity's
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CRITERION	RATING	COMMENT
		CoC Certification Scope or other Entities/Facilities within the CoC Certification Scope of another CoC Certified Entity.
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity is certified against the ASI Performance Standard. Refer to the following links for Novelis Korea Limited and Ulsan Aluminum Limited: <a href="https://aluminium-stewardship.org/wp-content/uploads/2021/07/ASI-Summary-Audit-Report-Novelis-Korea-Limited-Certificate-140-PS.pdf">https://aluminium-stewardship.org/wp-content/uploads/2021/07/ASI-Summary-Audit-Report-Novelis-Korea-Limited-Certificate-140-PS.pdf</a> <a href="https://aluminium-stewardship.org/wp-content/uploads/2021/12/ASI-Summary-Audit-Report-Ulsan-Aluminum-Certificate-159-PS.pdf">https://aluminium-stewardship.org/wp-content/uploads/2021/12/ASI-Summary-Audit-Report-Ulsan-Aluminum-Certificate-159-PS.pdf</a>
6.1c Sourcing ASI Aluminium	Conformance	The Entity has established a system to ensure ASI Aluminium is purchased only from eligible Entities/Facilities directly or indirectly via traders and warehouses. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has a Supplier Code of Conduct which addresses Anti-Corruption. The Entity's next tier Non-CoC Material suppliers are provided with the policy and required to sign the commitment letter to comply with the Supplier Code of Conduct: <a href="https://www.novelis.com/suppliers">https://www.novelis.com/suppliers</a>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has a Supplier Code of Conduct which addresses responsible sourcing. The Entity's next tier Non-CoC Material suppliers are provided with the policy and required to sign the commitment letter to comply with the Supplier Code of Conduct: <a href="https://www.novelis.com/suppliers">https://www.novelis.com/suppliers</a>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has a Supplier Code of Conduct which addresses Human Rights Due Diligence. The Entity's next tier Non-CoC Material suppliers are provided with the policy and required to sign the commitment letter to comply with the Supplier Code of Conduct: <a href="https://www.novelis.com/suppliers">https://www.novelis.com/suppliers</a>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has a Supplier Code of Conduct which covers Conflict-Affected and High-Risk Areas. The Entity's next tier Non-CoC Material suppliers are provided with the policy and required to sign the commitment letter to comply with the Supplier Code of Conduct: <a href="https://www.novelis.com/suppliers">https://www.novelis.com/suppliers</a>



CRITERION	RATING	COMMENT
7.2 Risk assessment	Conformance	A risk assessment is conducted to minimize the risk of non-compliance for the Entity's next tier suppliers (Non-CoC Material suppliers, scrap suppliers, traders, warehouses). Subsequent risk mitigation efforts, where risks are identified, are established and implemented by the Entity.
7.3 Complaints mechanism	Conformance	The Entity has a Complaint Management Procedure which enables external stakeholders and interested parties to report concerns of non-compliance with the Entity's Supplier Code of Conduct. Methods of reporting are communicated and accessible via the Entity's website at: <a href="https://www.novelis.com/contact">https://www.novelis.com/contact</a> and <a href="https://secure.ethicspoint.com/domain/media/en/gui/57484/index.html">https://secure.ethicspoint.com/domain/media/en/gui/57484/index.html</a> .
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	A Material Accounting System (on-line) has been established to control, manage and record Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass (kilogram).
8.2a Post-Consumer Scrap	Conformance	The Entity has established the ASI Mass Balance Process and Material Accounting System to control, manage and record Input Quantity breakdown of Recyclable Scrap Materials including Post-Consumer Scrap.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has established the ASI Mass Balance Process and Material Accounting System to control, manage and record Input Quantity breakdown of Recyclable Scrap Materials including total Pre-Consumer Scrap.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Entity has established the ASI Mass Balance Process and Material Accounting System to control, manage and record Input Quantity breakdown of Recyclable Scrap Materials including Eligible Pre-Consumer Scrap.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months (from January 1 to December 31) in the Entity's ASI Mass Balance Process.
8.4 Input Percentage	Conformance	The Entity has established a process to calculate and record the Input Percentage in compliance with the ASI Chain of Custody Standard formula. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.

CRITERION	RATING	COMMENT
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Conformance	The Entity has established a process to calculate and record the Input Percentage of Eligible Scrap and Recyclable Scrap Material in compliance with the ASI Chain of Custody Standard and the formula is stated in the Entity's ASI Mass Balance Process and System using the same numerator and denominator. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting System to determine the Output Quantity by mass (kilogram). At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
8.7 Output Quantity designation	Conformance	The Entity has established a Material Accounting System and the ASI Recording, Reporting and Documentation Procedure defines the method to designate the Output Quantity of CoC Material. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Material Accounting System ensures the Output Quantity of Eligible Scrap does not exceed the Input Quantity of Process Scrap. The Entity does not have a plan to sell Process Scrap as an Eligible Scrap.
8.9 Outputs not exceed Inputs	Conformance	The Material Accounting System provides updated information on inventory balance including total output of CoC Materials not exceeding total Input Percentage. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established a Material Accounting System and the Entity's ASI Mass Balance Process addresses the principle of Internal Overdraws not exceeding 20%. At the time of the audit, there were no examples of effective implementation of the system as CoC Material was not available in the Entity's supply chain.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has established a Material Accounting System and the Entity's ASI Mass Balance Process addresses the principle of the Internal Overdraw not exceeding the amount of CoC Material affected by the force majeure situation. At the time of the audit, there were no examples of effective implementation of the system as CoC Material was not available in the Entity's supply chain.

CRITERION	RATING	COMMENT
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has established a Material Accounting System and the Entity's ASI Mass Balance Process addresses how the Internal Overdraw is made up within the subsequent Material Accounting Period. At the time of the audit, there were no examples of effective implementation of the system as CoC Material was not available in the Entity's supply chain.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a Material Accounting System and the Entity's ASI Mass Balance Process addresses the carry over of a Positive Balance . At the time of the audit, there were no examples of effective implementation of the system as CoC Material was not available in the Entity's supply chain.
8.11b Positive Balance (expiry)	Conformance	The ASI Recording, Reporting and Documentation Process and the Material Accounting System has been established to control the carry over of a Positive Balance.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has developed the CoC Document which accompanies each shipment and transfer of CoC Material as per the Entity's ASI Recording, Reporting Documentation Process. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.2a Date of issue	Conformance	The Entity has an ASI Recording, Reporting and Documentation process which requires CoC Documents to include a date of issue for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred..
9.2b Reference number	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which requires CoC Documents to include a reference number linked to the Entity's invoice number for each shipment of material/product . At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.2c Issuing Entity	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which requires CoC Documents to include the issuing Entity's information for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.

CRITERION	RATING	COMMENT
9.2d Receiving customer	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which requires CoC Documents to include the receiving Entity's information for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.2e Responsible employee	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which requires CoC Documents to include the Entity's responsible employee for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.2f Conformance statement	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which requires CoC Documents to include the conformance statement as defined in the ASI Chain of Custody Standard for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.2g Type of CoC Material	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which requires CoC Documents to include the type of CoC Material for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.2h Mass of CoC Material	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which requires CoC Documents to include the mass of CoC Material for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.2i Mass of total material	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which requires 'CoC Documents to include the mass of total Material for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.3a Sustainability Data (optional)	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which defines the inclusion of the Entity's Sustainability Data (if requested) in the CoC Document for each shipment of material/product.

CRITERION	RATING	COMMENT
		At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.3b Sustainability Data (passing on)	Conformance	The Entity' has an ASI Recording, Reporting and Documentation Process which defines the inclusion of the Entity's Sustainability Data (if requested) in the CoC Document for each shipment of material/product . At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which defines the inclusion of the Entity's ASI Performance Standard Certification status (if requested) in the CoC Document for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.4 Supplementary Information (optional)	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which defines the inclusion of Supplementary Information about the Entity or CoC Material (if requested) for each shipment of material/product. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred..
9.5 Response to verification requests	Conformance	The Entity has an ASI Recording, Reporting and Documentation Process which defines the responsibility and process to respond to verification requests for information in the CoC Documents issued by the Entity. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
9.6 Error management	Conformance	A process to record errors, analyse the root cause, and to implement corrective actions to prevent the reoccurrence is incorporated in the Entity's ASI Recording, Reporting and Documentation Process, and Corrective and Preventive Action Procedure. At the time of the audit, there were no examples of effective implementation of the system as CoC Material had not been sourced or transferred.
<b>10 RECEIVING COC DOCUMENTS</b>		
10.1 Verify required information included	Conformance	The Entity's Checking of CoC Documentation Process defines the process to verify the required information in received CoC Documents . At the time of the audit, there were no examples of effective implementation of

CRITERION	RATING	COMMENT
		the system as CoC Materials were not available in the Entity's supply chain.
10.2 Verify consistency with shipments	Conformance	The Entity's Checking of CoC Documentation Process defines the process to verify consistency between CoC Documents and the accompanying CoC Material or Eligible Scrap . At the time of the audit, there were no examples of effective implementation of the system as CoC Materials were not available in the Entity's supply chain.
10.3 Verify supplier CoC Certification status	Conformance	The Entity's Checking of CoC Documentation Process defines the process to annually verify the validity and scope of suppliers' ASI CoC Certification . A valid list of ASI CoC Certified suppliers is maintained.
10.4 Error management	Conformance	The Entity's ASI Recording, Reporting and Documentation Process, and Corrective and Preventive Action Procedure defines the process to record the errors, analyse root causes, and take associated correction actions to prevent the reoccurrence with suppliers. At the time of the audit, there were no examples of effective implementation of the system as CoC Materials were not available in the Entity's supply chain.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.1c No double counting	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.1d No Positive Balance for ASI Credits	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2a Date of issue	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2b Reference number	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2c Issuing Entity	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2d Receiving Entity	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.

CRITERION	RATING	COMMENT
11.2f ASI Credits statement	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2g Quantity	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3b Material Accounting System – purchasing	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3c Expiry	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3d No re-trading	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3e No allocation to physical products	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	The Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
<b>12 CLAIMS AND COMMUNICATIONS</b>		
12.1a ASI Claims Guide	Conformance	The Entity's Claims and Communication process requires all claims and communications shall follow the ASI Claims Guide including communications with the ASI Secretariat.
12.1b Verifiable evidence	Conformance	The Entity's Claims and Communication process requires that verifiable evidence to support claims must be kept.
12.1c Employee training	Conformance	The Entity provides relevant employees with the training on claims and communication as per the Entity's Claims and Communication process. Training records with attendees signatures are maintained.

#### **Document Control and Version History**

Revision	Date	Notes
0	8 February 2022	Issued - Full Certification
1	17 June 2022	Scope Change Audit– Full Certification