

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

SHANDONG NANSHAN ALUMINUM CO., LTD.

CERTIFICATE
NUMBER

62

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

7 JANUARY 2020

DATE OF EXPIRY

6 JANUARY 2023

CERTIFIED SINCE

7 JANUARY 2020

AUTHORISED BY

A handwritten signature in white ink, appearing to be 'Jha', with a long horizontal line extending to the right.

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

Headquarter: Shandong Nanshan Aluminum Co., Ltd. (Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China), H.Q. functions. The following sites/facilities are included in the scope:
Site 1: Donghai Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities: (1). Longkou Donghai Alumina Co., Ltd. (600,000 t/a alumina production line of Phase I). (2). Shandong Nanshan Aluminum Co., Ltd. (480,000 t/a electrolysis aluminum production line of Phase IV). (3). Shandong Nanshan Aluminum Co., Ltd. (450,000 t/a aluminum alloy slab production line). (4). Plate Company of Shandong Nanshan Aluminum Co., Ltd. (200,000 t/a aluminum alloy plate and strip production line).
Site 2: Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities: (1). Longkou Nanshan Aluminum Rolling New Material Co., Ltd. (750,000 t/a hot rolling production line). (2). Longkou Nanshan Aluminum Rolling New Material Co., Ltd. (600,000 t/a aluminum alloy plate and strip production line).

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY STANDARD

OVERVIEW

MEMBER NAME	Shandong Nanshan Aluminium Co., Ltd.
ENTITY NAME	Shandong Nanshan Aluminium Co., Ltd.
CERTIFICATION SCOPE	<p>Headquarter: Shandong Nanshan Aluminium Co., Ltd. (Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China), H.Q. functions.</p> <p>The following sites/facilities are included in the scope:</p> <p>Site 1: Donghai Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:</p> <ul style="list-style-type: none">• (1). Longkou Donghai Alumina Co., Ltd. (600,000 t/a alumina production line of Phase I).• (2). Shandong Nanshan Aluminium Co., Ltd. (480,000 t/a electrolysis aluminum production line of Phase IV).• (3). Shandong Nanshan Aluminum Co., Ltd. (450,000 t/a aluminum alloy slab production line).• (4). Plate Company of Shandong Nanshan Aluminium Co., Ltd. (200,000 t/a aluminum alloy plate and strip production line). <p>Site 2: Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:</p> <ul style="list-style-type: none">• (1). Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (750,000 t/a hot rolling production line).• (2). Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (600,000 t/a aluminum alloy plate and strip production line).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Alumina Refining• Aluminium Smelting• Aluminium Re-melting/Refining• Casthouses• Semi-Fabrication
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (4 – 8 November 2019)• Surveillance Audit (27 – 31 December 2021)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	4 – 8 November 2019 (Initial Certification Audit)

AUDIT REPORT
SUBMISSION

- 21 November 2019 (Initial Certification Audit)
 - 25 April 2022 (Surveillance Audit)
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AUDIT SCOPE

Initial Certification Audit (4 – 8 November 2019)

Headquarters: Shandong Nanshan Aluminium Co., Ltd. (Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China), H.Q. functions.
The following sites/facilities are included in the audit scope:

Site 1: Donghai Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:

- (1). Longkou Donghai Alumina Co., Ltd. (600,000 t/a alumina production line of Phase I).
- (2). Shandong Nanshan Aluminium Co., Ltd. (480,000 t/a electrolysis aluminum production line of Phase IV).
- (3). Shandong Nanshan Aluminium Co., Ltd. (450,000 t/a aluminum alloy slab production line).
- (4). Plate Company of Shandong Nanshan Aluminium Co., Ltd. (200,000 t/a aluminum alloy plate and strip production line).

Site 2: Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:

- (1). Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (750,000 t/a hot rolling production line).
- (2). Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (600,000 t/a aluminum alloy plate and strip production line).

Supply chain activities included in the audit scope:

- Alumina Refining
- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses
- Semi-Fabrication

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

Surveillance Audit (27 – 31 December 2021)

The audit scope included Headquarter functions at Headquarters: Shandong Nanshan Aluminum Co., Ltd. (China) and the following sites/facilities:

Site 1: Donghai Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:

- (1). Longkou Donghai Alumina Co., Ltd. (600,000 t/a alumina production line of Phase I).
 - (2). Shandong Nanshan Aluminium Co., Ltd. (480,000 t/a electrolysis aluminum production line of Phase IV).
 - (3). Shandong Nanshan Aluminium Co., Ltd. (450,000 t/a aluminum alloy slab production line).
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- (4). Plate Company of Shandong Nanshan Aluminium Co., Ltd. (200,000 t/a aluminum alloy plate and strip production line).

Site 2: Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:

- (1). Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (750,000 t/a hot rolling production line).
- (2). Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (600,000 t/a aluminum alloy plate and strip production line).

Supply chain activities included in the audit scope:

- Alumina Refining
- Aluminium Smelting
- Aluminium Re-melting/Refining
- Casthouses
- Semi-Fabrication

All applicable criteria in the ASI Performance Standard were included in the audit scope.

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 January 2020 – 6 January 2023
NEXT AUDIT TYPE	Re-Certification Audit
NEXT AUDIT DUE DATE	6 January 2023
CERTIFICATION NUMBER	62

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an active ASI Member committed to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category: https://aluminium-stewardship.org/about-asi/asi-members/shandong-nanshan-aluminium-co-ltd
1.2 Management system	Conformance	The Entity's Management System has the capacity to handle ASI CoC Material. The Entity has an integrated Management System with a valid certification in accordance with ISO 9001.
1.3 Management system reviews	Conformance	Senior management has nominated General manager assistant of Shandong Nanshan Aluminium Co., Ltd. as the ASI Management Representative to have overall responsibility of the implementation of ASI CoC and for the conformance with all applicable requirements of the CoC Standard.
1.4 Management representative	Conformance	The Entity's General Manager is the ASI Management Representative with overall responsibility for the conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Training	Conformance	The Entity has established and implemented communications and training measures that make relevant personnel aware of and competent in their responsibilities.
1.6 Record keeping	Conformance	The Entity has established the record management procedure based on ISO 9001 to maintain records (Management System) covering all applicable requirements including the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity reported the Input and Output Quantities of CoC Material/s over the calendar year within three months after the end of the year.
1.7b Reporting to ASI (Input Percentage)	Minor Non-Conformance	The Entity has developed and maintains an inventory file (Excel format) for management and calculations. The Entity defines the reporting requirements in the ASI CoC Management Manual. The latest report to the ASI Secretariat was in April 2021, however the Input Percentage of ASI Aluminium and Input Percentage of Eligible Scrap were not reported.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Positive Balance)	Minor Non-Conformance	The Entity has developed and maintains an inventory file (Excel format) for management and calculations. The Entity defines the reporting requirements in the ASI CoC Management Manual. However, the maximum Positive Balance of ASI Bauxite for the 2020 calendar year was not reported to the ASI Secretariat.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has developed and maintains an inventory file (Excel format) for management and calculations. The latest report to the ASI Secretariat was in April 2020, the Internal Overdraw is 0.
1.7e Reporting to ASI (Eligible Scrap)	Not Applicable	This Criterion is not applicable as the Entity is not engaged in in Aluminium Re-melting/Refining to produce Recycled Aluminium.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Credits System.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the ASI Credits System.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2a Control of CoC Material	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2b No further outsourcing	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.2c Risk assessment	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.3 Output Quantity	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.4 Verification and record-keeping	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.
2.5 Error management	Not Applicable	The Entity does not use Outsourcing Contractors for the purposes of further processing, treatment or manufacturing.

CRITERION	RATING	COMMENT
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	Conformance	The observed system ensures production of ASI Alumina only from the Alumina Facilities that are within the Entity's CoC Certification Scope.
3.2b ASI Performance Standard – Alumina Refining	Conformance	The observed system ensures production of ASI Alumina only from the Alumina Facilities that are certified against the ASI Performance Standard.
3.3a CoC Certification Scope – Aluminium Smelting	Conformance	The observed system ensures production of ASI Liquid Metal only from the Aluminium smelter that is within the Entity's CoC Certification Scope.
3.3b ASI Performance Standard – Aluminium Smelting	Conformance	The observed system ensures production of ASI Liquid Metal only from the aluminium smelters that are certified against the ASI Performance Standard.
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope – Aluminium Re-Melting/Refining	Conformance	The Entity has processes and systems in place to ensure that ASI Liquid Metal is produced only from the CoC Certified Facilities that are within the Entity's CoC Certification Scope.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	The observed system ensures production of ASI Liquid Metal only from Facilities that are certified against the ASI Performance Standard. The CoC Material Accounting System developed in Excel format demonstrates the compliance.
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity's Material Accounting System is designed to control and account for Eligible Scrap coming into the value chain. Pre-Consumer Scrap is designated as CoC Material supplied directly from their own facilities and is included in the Entity's CoC Certification Scope. This was evidenced in CoC Material Management Procedures and the CoC Material Accounting System.
4.2b Post-Consumer Scrap	Not Applicable	The Criterion is not applicable as the Entity does not use Post-Consumer Scrap.
4.3a Supplier records	Not Applicable	The Criterion is not applicable as the Entity does not source Recyclable Scrap Material from suppliers.
4.3b Cash payments	Not Applicable	This Criterion is not applicable as no cash payments are made.

CRITERION	RATING	COMMENT
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope – Casthouses	Conformance	The observed system 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 observed system ensures production of ASI Aluminium only from the Casthouse that is certified against the ASI Performance Standard.
5.2 Casthouse Products	Conformance	The Entity has systems in place to ensure that unique identification numbers, either physically stamped and printed on ASI Aluminium products' packaging, can be linked to the Material Accounting System. Checking the Material Accounting System at the Entity's Casthouse site demonstrates the traceability of CoC Materials is effective.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope – Post-Casthouse	Conformance	The observed system ensures production of ASI Aluminium only from the Facilities within the Entity's CoC Certification Scope.
6.1b ASI Performance Standard – Post-Casthouse	Conformance	In accordance with the Certification information on the ASI website, the Entity's plants with Post-Casthouse activities are certified against the ASI Performance Standard.
6.1c Sourcing ASI Aluminium	Conformance	The Entity is not currently sourcing ASI Aluminium from other CoC Certified Entities for its Post-Casthouse, only from the plants in the audit scopes.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has a responsible sourcing Policy which includes the requirements of Anti-Corruption as per the ASI Performance Standard. All identified major first-tier suppliers are communicated with on the Policy and Commitment Letters of Business Ethics are signed by the suppliers. The responsible sourcing Policy is published at: http://www.600219.com.cn/static/admin/upload/file/20191108/20191108051800_96509.pdf
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has a responsible sourcing Policy which includes the requirements of responsible sourcing as per the ASI Performance Standard. All identified major first-tier suppliers are communicated with on the Policy and Commitment Letters of Business Ethics are signed by the suppliers. The responsible sourcing Policy is published at: http://www.600219.com.cn/static/admin/upload/file/20191108/20191108051800_96509.pdf

CRITERION	RATING	COMMENT
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has a responsible sourcing Policy which includes the requirements of responsible sourcing as per the ASI Performance Standard. All identified major first-tier suppliers are communicated with on the Policy and Commitment Letters of Business Ethics are signed by the suppliers. The responsible sourcing Policy is published at: http://www.600219.com.cn/static/admin/upload/file/20191108/20191108051800_96509.pdf
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has a responsible sourcing Policy which includes the requirements of Conflict-Affected and High-Risk Areas as per the ASI Performance Standard. The relevant training courses are provided to employees. All identified major first-tier suppliers are communicated with on the Policy and Commitment Letters of Business Ethics are signed by the suppliers. The responsible sourcing Policy is published at: http://www.600219.com.cn/static/admin/upload/file/20191108/20191108051800_96509.pdf
7.2 Risk assessment	Conformance	The Entity has undertaken risk assessment of its supply chain and completes risk mitigation efforts where relevant. The Entity also conducts second party audits of its major first-tier suppliers.
7.3 Complaints mechanism	Conformance	The Entity has a complaints mechanism that meets the requirements of the ASI Performance Standard. The Entity has a whistleblower/complaints channel to enable employees and external stakeholders to report potential misconducts anonymously: http://www.600219.com.cn/static/admin/upload/file/20191108/20191108051800_96509.pdf
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity establishes a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass as evidenced in the ASI CoC Management Manual, MES Production Management System and CoC Material Accounting System.
8.2a Post-Consumer Scrap	Not Applicable	The Criterion is not applicable as the Entity does not use Post-Consumer Scrap.
8.2b Pre-Consumer Scrap (total)	Conformance	The Mass Balance System is established to record the total Quantity of Pre-Consumer Scrap and the status of CoC Material and Non CoC Material.

CRITERION	RATING	COMMENT
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The quantity of Eligible Scrap is recorded in the Mass Balance System. CoC Documents are required to be provided for Eligible Scrap.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months, in accordance with the Entity's financial year.
8.4 Input Percentage	Conformance	The calculation and recording of the Input Percentage of CoC Material is defined in the Material Accounting System procedure.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The calculation and recording of the Input Percentage of Aluminium in the scrap is defined in the Material Accounting System procedure.
8.6 Output Quantity determination	Conformance	The Entity's Material Accounting System calculates the Output Quantity by mass in accordance with the requirements in the ASI Chain of Custody Standard.
8.7 Output Quantity designation	Conformance	The Entity's Output Quantity can be designated as 100% CoC Material as per the Material Accounting System procedures and processes.
8.8 Output Quantity – Pre-Consumer Scrap	Conformance	Each transfer of eligible Pre-Consumer Scrap from the Entity is accompanied by a CoC Document and the calculation of the Output Quantity is in accordance with the formula in the ASI Chain of Custody Standard.
8.9 Outputs not exceed inputs	Conformance	The Entity's Material Accounting System has been developed to update information on inventory balance on a frequent basis to ensure the total output does not exceed the Input Percentage. This was evidenced in the ASI CoC Management Manual and the relevant statistics reports.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established processes in the Material Accounting System to ensure an Internal Overdraw does not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period. This was evidenced in the ASI CoC Management Manual and the relevant statistics reports.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has established processes in the Material Accounting System to control an Internal Overdraw under a force majeure situation. This was evidenced in the ASI CoC Management Manual and the relevant statistics reports.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has established processes in the Material Accounting System to ensure an Internal Overdraw is made up within the subsequent Material

CRITERION	RATING	COMMENT
		Accounting Period. This was evidenced in the ASI CoC Management Manual and the relevant statistics reports.
8.11a Positive Balance (carry over)	Conformance	The Entity has established processes in the Material Accounting System to control a Positive Balance (carry over) in compliance with the requirement. This was evidenced in the ASI CoC Management Manual and the relevant statistics reports.
8.11b Positive Balance (expiry)	Conformance	The Entity has established processes in the Material Accounting System to control a Positive Balance (carry over) in compliance with the requirement.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has a system that produces CoC Documents for shipment and transfer of CoC Material, ensuring that these are controlled, issued and stored as per ASI Chain of Custody Standard requirements.
9.2a Date of issue	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and the date of issue is included.
9.2b Reference number	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard and issues CoC Documents which includes a reference number (Factory code + date + serial number + version number). The Entity issues a CoC Document for each lot of material/product in the template defined in ASI CoC Standard, include reference number: Factory code + date + serial number + version number.
9.2c Issuing Entity	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard and issues CoC Documents which includes information on the Issuing Entity's name, address and Chain of Custody Certification number.
9.2d Receiving customer	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard and issues CoC Documents 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 is included.
9.2e Responsible employee	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and includes information on the responsible employee.

CRITERION	RATING	COMMENT
9.2f Conformance statement	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and includes the 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 uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and the type of CoC Material in the shipment is included.
9.2h Mass of CoC Material	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and the mass of CoC Material is included.
9.2i Mass of total material	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and the mass of total Material is included.
9.3a Sustainability Data (optional)	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and Sustainability Data is included. The data is based on the GHG emission calculation report which is published on the Entity’s official website.
9.3b Sustainability Data (passing on)	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and Sustainability Data is included. The data is based on the GHG emission calculation report which is published on the Entity’s official website.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and the ASI Certification status for the ASI Performance Standard for the Entity is included.
9.4 Supplementary Information (optional)	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard to issue CoC Documents and there is a column for supplementary information where the Entity provides the supplementary information as per customer requirements.
9.5 Response to verification requests	Conformance	The Entity has defined the responsibility and the process to respond the requests for verification of information in CoC Documents issued by the Entity in the ASI CoC Management Manual.

CRITERION	RATING	COMMENT
9.6 Error management	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record the errors, analyze the root cause, and implement associated correction action to prevent the recurrence. This was evidenced in the ASI CoC Management Manual and is managed as part of the Quality Management System.
10 RECEIVING CoC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity's ASI CoC Management Manual defines the process to verify that all required information in received CoC Documents has been included. This was evidenced in the received CoC Documents.
10.2 Verify consistency with shipments	Conformance	The Entity's ASI CoC Management Manual defines the process to verify the received CoC Documents before recording information in the Material Accounting System. This was evidenced in the received CoC Documents.
10.3 Verify supplier CoC Certification status	Conformance	The Entity's ASI CoC Management Manual defines the process to verify a supplier's CoC Certification status.
10.4 Error management	Conformance	Integrated with ISO 9001 Quality Management System, the Entity has a process to record the errors, analyze the root cause, take the associated correction action to prevent the reoccurrence with suppliers. This was evidenced in the ASI CoC Management Manual and is managed as part of the Quality Management System.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.1c No double counting	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.1d No Positive Balance for ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2a Date of issue	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.

CRITERION	RATING	COMMENT
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.2g Quantity	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3b Material Accounting System – purchasing	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3c Expiry	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3d No re-trading	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3e No allocation to physical products	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.

12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity's ASI CoC Management Manual defines that all claims and communications shall follow the ASI Claims Guide including communication with the ASI Secretariat, and the relevant roles and responsibilities are defined.
12.1b Verifiable evidence	Conformance	The Entity has appointed the roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide. Till now, besides the CoC Documents, the Entity has not made any other types of claims.
12.1c Employee training	Conformance	The Entity had delivered appropriated training courses on claims and communications to relevant employees.

Document Control and Version History

Revision	Date	Notes
0	7 January 2020	Certification Audit – Full Certification
1	3 June 2022	Surveillance Audit