

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

JIANGSU ZHONGJI LAMINATION MATERIALS CO., LTD.

CERTIFICATE
NUMBER

44

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

4 SEPTEMBER 2022

DATE OF EXPIRY

3 SEPTEMBER 2025

CERTIFIED SINCE

4 SEPTEMBER 2019

AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd
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*Validity of this Certificate is subject to continued
conformance with the applicable ASI Standard
and can be verified at www.aluminium-stewardship.org*

CERTIFICATION SCOPE

Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

| | |
|-------------------------|---|
| MEMBER NAME | Jiangsu Zhongji Lamination Materials Co., Ltd. |
| ENTITY NAME | Jiangsu Zhongji Lamination Materials Co., Ltd. |
| CERTIFICATION SCOPE | Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil. |
| SUPPLY CHAIN ACTIVITIES | <ul style="list-style-type: none">• Post-Casthouse |
| ASI STANDARD | <ul style="list-style-type: none">• Chain of Custody Standard V1 |
| AUDIT TYPE | <ul style="list-style-type: none">• Initial Certification Audit (30 July – 1 August 2019)• Surveillance Audit (27 September 2021)• Re-Certification Audit (31 August 2022) |
| AUDIT FIRM | DNV Business Assurance Services UK Ltd. |
| AUDIT DATE | <ul style="list-style-type: none">• 30 July – 1 August 2019 (Initial Certification Audit)• 27 September 2021 (Surveillance Audit)• 31 August 2022 (Re-Certification Audit) |
| AUDIT REPORT SUBMISSION | <ul style="list-style-type: none">• 13 August 2019 (Initial Certification Audit)• 8 November 2021 (Surveillance Audit)• 11 November 2022 (Re-Certification Audit) |
| AUDIT SCOPE | <p><u>Initial Certification Audit (30 July – 1 August 2019)</u></p> <p>Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Post-Casthouse <p>Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p> |

Surveillance Audit (27 September 2021)

Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil.

Supply chain activities included in the audit scope:

- Post-Casthouse

Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.

Surveillance Audit (27 September 2021)

Jiangsu Zhongji Lamination Materials Co., Ltd. is located in Lingang New City Development Zone, Jiangyin City, Jiangsu Province, China. Mainly produces aluminium and aluminium alloy foil.

Supply chain activities included in the audit scope:

- Post-Casthouse

Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.

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

4 September 2022 – 3 September 2025

NEXT AUDIT
TYPE

Surveillance Audit

NEXT AUDIT
DUE DATE

3 September 2024

CERTIFICATION
NUMBER

44

SUMMARY OF FINDINGS

| CRITERION | RATING | COMMENT |
|--|-------------|---|
| 1 MANAGEMENT SYSTEM AND RESPONSIBILITIES | | |
| 1.1 ASI membership | Conformance | The Entity is an active ASI Member and commits 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/jiangsu-zhongji-lamination-materials-co-ltd |
| 1.2 Management system | Conformance | The Entity has established policies, systems, procedures and processes that comply with the ASI Chain of Custody Standard Criteria. The Management System has the capacity to handle CoC Material. The Entity has an Integrated Management System underpinned by ISO 9001. The Entity's ISO 9001 certificate was issued by China Quality Certification Centre and is valid for the Entity's Certification Scope and certification period. |
| 1.3 Management system reviews | Conformance | The Entity has established a process to periodically review the Management System to assess the effectiveness of CoC management and address potential areas of non-conformance and improvement. The latest management review was conducted on 20 July 2022. |
| 1.4 Management representative | Conformance | The Entity has nominated a member of senior management as the ASI Management Representative with overall responsibility for the implementation of and conformance with all applicable requirements of the ASI Chain of Custody Standard. |
| 1.5 Training | Conformance | The Entity has delivered training courses to relevant personnel to raise awareness of and ensure competency in their responsibilities under the ASI Chain of Custody Standard. |
| 1.6 Record keeping | Conformance | The Entity has established a record management procedure based on the ISO 9001 Management System procedures to maintain records that address all applicable requirements, including the retention requirement of ASI-related records. |
| 1.7a Reporting to ASI (Inputs and Outputs) | Conformance | The Entity has documented the ASI CoC Management Manual, which defines the process to report the Input and Output Quantities of CoC Materials to the ASI Secretariat. The latest report |

| CRITERION | RATING | COMMENT |
|--|----------------|--|
| | | was submitted in June 2022 and the Input Quantity and Output Quantity was zero. |
| 1.7b Reporting to ASI (Input Percentage) | Conformance | The Entity has developed and maintained an inventory file in Excel format for the management and calculation of data to be reported to the ASI Secretariat. The latest report was submitted in June 2022 and the Input Percentage was zero. |
| 1.7c Reporting to ASI (Positive Balance) | Conformance | The Entity has developed and maintained an inventory file in Excel format for the management and calculation of data to be reported to the ASI Secretariat. The latest report was submitted in June 2022 and the Positive Balance was zero. |
| 1.7d Reporting to ASI (Internal Overdraw) | Conformance | The Entity has developed and maintained an inventory file in Excel format for the management and calculation of data to be reported to the ASI Secretariat. The latest report was submitted in June 2022 and the Internal Overdraw was zero. |
| 1.7e Reporting to ASI (Eligible Scrap) | Not Applicable | This Criterion is not applicable as the Entity is not engaged in Aluminium Re-melting/Refining. |
| 1.7f Reporting to ASI (ASI Credits from Casthouses) | Not Applicable | This Criterion is not applicable as the Entity is not engaged in Aluminium Re-melting/Refining. |
| 1.7g Reporting to ASI (ASI Credits purchased) | Not Applicable | This Criterion is not applicable as the Entity is not engaged in Aluminium Re-melting/Refining. |
| 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. |

| CRITERION | RATING | COMMENT |
|--|----------------|---|
| 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. |
| 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 | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 4.1b ASI Performance Standard – Aluminium Re-Melting/Refining | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 4.2a Pre-Consumer Scrap and Dross | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 4.2b Post-Consumer Scrap | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 4.3a Supplier records | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 4.3b Cash payments | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM | | |
| 5.1a CoC Certification Scope – Casthouses | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |

| CRITERION | RATING | COMMENT |
|--|----------------|---|
| 5.1b ASI Performance Standard – Casthouses | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 5.2 Casthouse Products | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM | | |
| 6.1a CoC Certification Scope – Post-Casthouse | Conformance | The Entity has implemented systems to ensure that it is producing ASI Aluminium within its Certification Scope. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 6.1b ASI Performance Standard – Post-Casthouse | Conformance | The relevant suppliers are required to declare their ASI Performance Standard Certification status and the Certification Scope to ensure it covers the products purchased. |
| 6.1c Sourcing ASI Aluminium | Conformance | The Entity has implemented systems to ensure that ASI Aluminium is purchased only from eligible CoC Certified Entities directly or indirectly via a metals trader and warehouse where the CoC Document is supplied or can be verified. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 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 that addresses the ASI Chain of Custody Standard Criteria on Anti-Corruption: http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf All major next tier suppliers are communicated with on the Policy and have signed the Commitment Letter of Business Ethics. |
| 7.1b Responsible sourcing policy (responsible sourcing) | Conformance | The Entity has a Responsible Sourcing Policy that addresses the ASI Chain of Custody Standard Criteria on responsible sourcing: http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf All major next tier suppliers are communicated with on the Policy and have signed the Commitment Letter of Responsible Purchasing. The Entity has a mailbox and hotline for whistleblowing/complaints: hotline: +86-0510-80128324 mailbox: zhongji@zjalufoil.com |

| CRITERION | RATING | COMMENT |
|--|----------------|---|
| 7.1c Responsible sourcing policy (human rights due diligence) | Conformance | The Entity has a Responsible Sourcing Policy that addresses the ASI Chain of Custody Standard Criteria on Human Rights Due Diligence: http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf All identified major next tier suppliers are communicated with on the Policy and have signed the Commitment Letter of Responsible Purchasing. |
| 7.1d Responsible sourcing policy (conflict affected and high risk areas) | Conformance | The Entity has a Responsible Sourcing Policy that addresses Conflict-Affected and High-Risk Areas: http://www.zjalufoil.com/WebEditor/upload/download/20190612022045.pdf The relevant training course is provided to employees. All identified major suppliers are communicated with on the policy and have signed the Commitment Letter of Non-Conflict-Minerals. |
| 7.2 Risk assessment | Conformance | The Entity has conducted risk assessments of its suppliers and completes risk mitigation efforts where relevant. The Entity has also conducted second party audits of its major suppliers. |
| 7.3 Complaints mechanism | Conformance | The Entity has a 'whistleblower'/complaints channel to enable employees and external stakeholders to anonymously report potential misconduct: hotline: +86-0510-80128324 mailbox: zhongji@zjalufoil.com |
| 8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM | | |
| 8.1 Material Accounting System | Conformance | The Entity has established a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass. |
| 8.2a Post-Consumer Scrap | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 8.2b Pre-Consumer Scrap (total) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 8.2c Pre-Consumer Scrap (Eligible Scrap) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 8.3 Material Accounting Period | Conformance | The Material Accounting Period is defined as 12 months, a calendar year. |
| 8.4 Input Percentage | Conformance | The Entity has established a process to calculate and record the Input Percentage. At the time of the audit, there were no examples of effective |

| CRITERION | RATING | COMMENT |
|--|----------------|--|
| | | implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 8.5 Input Percentage (Aluminium Re-Melting and Refining) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 8.6 Output Quantity determination | Conformance | The Entity has established a Material Accounting System to determine the Output Quantity. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 8.7 Output Quantity designation | Conformance | The Entity has established a Material Accounting System that defines how 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 no CoC Material was available in the Entity's supply chain. |
| 8.8 Output Quantity – Pre-Consumer Scrap | Conformance | The Entity has defined how to determine the Output Quantity of Eligible Scrap for the given Material Accounting Period, including the identification of potential sources of Pre-Consumer Scrap and the calculation formula to determine the Output Quantity of Eligible Scrap. |
| 8.9 Outputs not exceed inputs | Conformance | The Entity has established a Material Accounting System to include information on inventory balance and updated on a frequent basis. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 8.10a Internal Overdraws (not exceed 20%) | Conformance | The Entity has established a Material Accounting System. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 8.10b Internal Overdraws (not exceed affected amount) | Conformance | The Entity has established a Material Accounting System. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 8.10c Internal Overdraws (period to make up) | Conformance | The Entity has established a Material Accounting System. At the time of the audit, there were no examples of effective implementation of the system as no CoC material was available in the Entity's supply chain. |

| CRITERION | RATING | COMMENT |
|-------------------------------------|-------------|--|
| 8.11a Positive Balance (carry over) | Conformance | The Entity has established a Material Accounting System. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 8.11b Positive Balance (expiry) | Conformance | The Entity has established a Material Accounting System. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9 ISSUING COC DOCUMENTS | | |
| 9.1 Shipments and transfers | Conformance | The Entity has implemented a system that compiles CoC Documents for each shipment and transfer, ensuring these are controlled, issued and stored as per the ASI Chain of Custody Standard requirements. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.2a Date of issue | Conformance | The Entity uses the ASI CoC Document template, which includes the date of issue. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.2b Reference number | Conformance | The Entity uses the ASI CoC Document template, which includes the reference number is included. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.2c Issuing Entity | Conformance | The Entity uses the ASI CoC Document template, which includes 'Jiangsu Zhongji Lamination Material Co., Ltd.' as the issuing Entity. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.2d Receiving customer | Conformance | The Entity uses the ASI CoC Document template, which allows for information on the identity and address of the customer receiving the CoC Material. If it is another CoC Certified Entity, their CoC Certification number is included. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |

| CRITERION | RATING | COMMENT |
|--|----------------|--|
| 9.2e Responsible employee | Conformance | The Entity uses the ASI CoC Document template, which includes the responsible employee who can verify information. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.2f Conformance statement | Conformance | The Entity uses the ASI CoC Document template, which includes the statement confirming that "The information provided in the CoC Document is in conformance with the ASI CoC Standard." is included. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.2g Type of CoC Material | Conformance | The Entity uses the ASI CoC Document template, which includes the types of CoC Materials in the shipment. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.2h Mass of CoC Material | Conformance | The Entity uses the ASI CoC Document template, which includes the mass of CoC Material. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.2i Mass of total material | Conformance | The Entity uses the ASI CoC Document template, which includes the mass of total Material is included. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.3a Sustainability Data (optional) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 9.3b Sustainability Data (passing on) | Conformance | The Entity uses the ASI CoC Document template, which includes optional Sustainability Data. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.3c Post-Casthouse ASI Certification status | Conformance | The Entity uses the ASI CoC Document template, which includes the ASI Certification status for the ASI Performance Standard for the Entity. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |

| CRITERION | RATING | COMMENT |
|---|-------------|--|
| 9.4 Supplementary Information (optional) | Conformance | The Entity uses the ASI CoC Document template, which includes a column for Supplementary Information. The Entity can provide the Supplementary Information as per the requirements from the customer. In the ASI CoC Management Manual, the Entity requires all information to be consistent with information generated within the ASI Performance Standard and be reliable. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material was available in the Entity's supply chain. |
| 9.5 Response to verification requests | Conformance | The Entity has established a process, and assigned responsibility, to respond to requests for verification of information within the CoC Documents. |
| 9.6 Error management | Conformance | The Entity integrates error management with its current processes under ISO 9001 to manage the error and prevent a recurrence. |
| 10 RECEIVING COC DOCUMENTS | | |
| 10.1 Verify required information included | Conformance | The Entity has established the process and assigned responsibility for the verification of information on received CoC Documents. At the time of the audit, there were no examples of effective implementation of the system as no CoC Materials are available in the Entity's supply chain. |
| 10.2 Verify consistency with shipments | Conformance | The Entity has established the process and assigned responsibility for the verification and consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material are available in the Entity's supply chain. |
| 10.3 Verify supplier CoC Certification status | Conformance | The Entity has established the process to ensure suppliers have a valid CoC Certification and trigger adequate processes if any changes occur to their status. The process is managed by the System Department. |
| 10.4 Error management | Conformance | The Entity has integrated error management with its current processes under ISO 9001 to document errors, corrective actions and any potential preventive measures. |
| 11 MARKET CREDITS SYSTEM: ASI CREDITS | | |

| CRITERION | RATING | COMMENT |
|--|----------------|--|
| 11.1a Material Accounting System – allocation | Not Applicable | This 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 | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.1c No double counting | Not Applicable | This 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 | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.2a Date of issue | Not Applicable | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.2b Reference number | Not Applicable | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.2c Issuing Entity | Not Applicable | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.2d Receiving Entity | Not Applicable | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.2e Conformance statement | Not Applicable | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.2f ASI Credits statement | Not Applicable | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.2g Quantity | Not Applicable | This 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 | This 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 | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.3c Expiry | Not Applicable | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |
| 11.3d No re-trading | Not Applicable | This 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 | This 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 | This 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 | This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System. |

| CRITERION | RATING | COMMENT |
|-------------------------------------|-------------|--|
| 12 CLAIMS AND COMMUNICATIONS | | |
| 12.1a ASI Claims Guide | Conformance | The Entity has documented the ASI CoC Management Manual and defined 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. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material is available on the Entity's supply chain. |
| 12.1b Verifiable evidence | Conformance | The Entity has appointed roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide. At the time of the audit, there were no examples of effective implementation of the system as no CoC Material is available on the Entity's supply chain. |
| 12.1c Employee training | Conformance | The Entity has provided the training courses on claims and communication to the relevant employees. |

Document Control and Version History

| Revision | Date | Notes |
|----------|------------------|--|
| 0 | 4 September 2019 | Initial Certification Audit – Full Certification |
| 1 | 22 November 2021 | Surveillance Audit |
| 2 | 2 December 2022 | Re-Certification Audit – Full Certification |