

# 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 2023

DATE OF EXPIRY

6 JANUARY 2026

CERTIFIED SINCE

7 JANUARY 2020

AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
info@aluminium-stewardship.org

*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

Headquarter functions at: Shandong Nanshan Aluminum Co., Ltd. in Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China and the following sites with associated facilities:

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

- (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:

- (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).
- (3). Yantai Donghai Aluminum Foil Co., Ltd. (40,000 t/a high precision aluminum and aluminum foil 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 functions at: Shandong Nanshan Aluminium Co., Ltd. in Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China and the following sites with associated facilities:</p> <p>Site 1: Donghai Industrial Park, Longkou City, Yantai City, Shandong Province, China:</p> <ul style="list-style-type: none"><li>(1). Longkou Donghai Alumina Co., Ltd. (600,000 t/a alumina production line of Phase I).</li><li>(2). Shandong Nanshan Aluminum Co., Ltd. (480,000 t/a electrolysis aluminum production line of Phase IV).</li><li>(3). Shandong Nanshan Aluminum Co., Ltd. (450,000 t/a aluminum alloy slab production line).</li><li>(4). Plate Company of Shandong Nanshan Aluminum Co., Ltd. (200,000 t/a aluminum alloy plate and strip production line).</li></ul> <p>Site 2: Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China:</p> <ul style="list-style-type: none"><li>(1). Longkou Nanshan Aluminum Rolling New Material Co., Ltd. (750,000 t/a hot rolling production line).</li><li>(2). Longkou Nanshan Aluminum Rolling New Material Co., Ltd. (600,000 t/a aluminum alloy plate and strip production line).</li><li>(3). Yantai Donghai Aluminum Foil Co., Ltd. (40,000 t/a high precision aluminum and aluminum foil production line).</li></ul>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Alumina Refining</li><li>Aluminium Smelting</li><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouses</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 (4 – 8 November 2019)</li><li>Surveillance Audit (27 – 31 December 2021)</li><li>Re-Certification Audit and Scope Change (7 – 11 November 2022)</li></ul>

AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"> <li>• 4 – 8 November 2019 (Initial Certification Audit)</li> <li>• 27 – 31 December 2021 (Surveillance Audit)</li> <li>• 7 – 11 November 2022 (Re-Certification Audit and Scope Change)</li> </ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"> <li>• 21 November 2019 (Initial Certification Audit)</li> <li>• 25 April 2022 (Surveillance Audit)</li> <li>• 26 April 2023 (Re-Certification Audit and Scope Change)</li> </ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (4 – 8 November 2019)</u></p> <p>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:</p> <p>Site 1: Donghai Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:</p> <ul style="list-style-type: none"> <li>• (1). Longkou Donghai Alumina Co., Ltd. (600,000 t/a alumina production line of Phase I).</li> <li>• (2). Shandong Nanshan Aluminium Co., Ltd. (480,000 t/a electrolysis aluminum production line of Phase IV).</li> <li>• (3). Shandong Nanshan Aluminium Co., Ltd. (450,000 t/a aluminum alloy slab production line).</li> <li>• (4). Plate Company of Shandong Nanshan Aluminium Co., Ltd. (200,000 t/a aluminum alloy plate and strip production line).</li> </ul> <p>Site 2: Nanshan Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:</p> <ul style="list-style-type: none"> <li>• (1). Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (750,000 t/a hot rolling production line).</li> <li>• (2). Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (600,000 t/a aluminum alloy plate and strip production line).</li> </ul> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"> <li>• Alumina Refining</li> <li>• Aluminium Smelting</li> <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>Surveillance Audit (27 – 31 December 2021)</u></p> <p>The audit scope included Headquarter functions at Headquarters: Shandong Nanshan Aluminum Co., Ltd. (China) and the following sites/facilities:</p> <p>Site 1: Donghai Industrial Park, Longkou City, Yantai City, Shandong Province, China. included facilities:</p> <ul style="list-style-type: none"> <li>• (1). Longkou Donghai Alumina Co., Ltd. (600,000 t/a alumina production line of Phase I).</li> </ul>

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- (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
- Post-Casthouse

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

#### Re-Certification Audit and Scope Change (7 – 11 November 2022)

The audit scope included the Headquarters' management functions, Longkou Donghai Alumina Co., Ltd. (600,000 t/a alumina production line of Phase I), Shandong Nanshan Aluminium Co., Ltd. (480,000 t/a electrolysis aluminum production line of Phase IV), Shandong Nanshan Aluminium Co., Ltd. (450,000 t/a aluminum alloy slab production line), Plate Company of Shandong Nanshan Aluminium Co., Ltd. (200,000 t/a aluminum alloy plate and strip production line), Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (750,000 t/a hot rolling production line), Longkou Nanshan Aluminium Rolling New Material Co., Ltd. (600,000 t/a aluminum alloy plate and strip production line), and Yantai Donghai Aluminum Foil Co., Ltd. (40,000 t/a high precision aluminum and aluminum foil production line).

Supply chain activities included in the audit scope:

- Alumina Refining
- Aluminium Smelting
- 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  
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

7 January 2023 – 6 January 2026

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NEXT AUDIT  
TYPE

Surveillance Audit

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NEXT AUDIT  
DUE DATE

6 January 2025

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CERTIFICATION  
NUMBER

62

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## 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: <a href="https://aluminium-stewardship.org/about-asi/asi-members/shandong-nanshan-aluminium-co-ltd">https://aluminium-stewardship.org/about-asi/asi-members/shandong-nanshan-aluminium-co-ltd</a>
1.2 Management system	Conformance	The Entity has established policies, systems, procedures and processes that can comply with the Management System requirements. 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 during the certification period.
1.3 Management system reviews	Conformance	The Entity has established a process to review at least annually the Management System to assess the effectiveness of the Chain of Custody management and address potential areas of non-conformance and improvement. This was evidenced in the ASI CoC Management Manual and will be managed as part of the Entity's ISO 9001 Quality Management System.
1.4 Management representative	Conformance	Senior management has nominated a Management Representative to have overall responsibility of the implementation of ASI Chain of Custody Standard and for the conformance with all applicable requirements of the 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 under the ASI Chain of Custody Standard.
1.6 Record keeping	Conformance	The Entity has established the record management procedures based on the ISO 9001 Management System to maintain records covering all applicable requirements including the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has reported the Input and Output Quantities of CoC Material/s of the previous accounting cycle to the ASI Secretariat before June 30 of each year.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has developed and maintains an inventory file in Excel format for management and calculations. The latest reporting to the ASI Secretariat was in June 2022.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has developed and maintains an inventory file in Excel format for management and calculations. The latest reporting to the ASI Secretariat was in June 2022.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has developed and maintains an inventory file in Excel format for management and calculations. The latest reporting to the ASI Secretariat was in June 2022, 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.

## 3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL

CRITERION	RATING	COMMENT
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.
<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 has established processes and systems 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 Material Accounting System developed in Excel format demonstrates conformance.
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity has implemented a Material Accounting System 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 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.

**5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM**



CRITERION	RATING	COMMENT
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 established systems to ensure that unique identification numbers, either physically stamped and printed on ASI Aluminium products' packaging, can be linked to the Material Accounting System. Review of the Material Accounting System at the Entity's Casthouse site demonstrates that 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 Facilities 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 Facilities within the Certification Scope.
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 Entity's Policy for Labour and Business Ethics is accessible at: <a href="http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf">http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf</a>
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 Entity's Policy for Labour and Business Ethics is accessible at: <a href="http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf">http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf</a>

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 Human Rights Due Diligence 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 Entity's Policy for Labour and Business Ethics is accessible at: <a href="http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf">http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf</a>
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 Entity's Policy for Labour and Business Ethics is accessible at: <a href="http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf">http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf</a>
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: <a href="http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf">http://www.600219.com.cn/static/admin/upload/file/20220509/20220509144642_63519.pdf</a>
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. This was evidenced in the ASI CoC Management Manual and the Material Accounting System developed in Excel format.
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 Input Quantity of Pre-Consumer Scrap and the status of CoC Material and Non CoC Material.
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.

CRITERION	RATING	COMMENT
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months and aligns 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. For the annual reporting period the Input Percentage is calculated as required.
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. The Entity follows the calculation method in the Mass Accounting System.
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. The records of ASI Aluminium in each process in the Mass Balance System demonstrate the process is implemented and effective.
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. The records of ASI Aluminium in each process in the Mass Balance System demonstrate the process is implemented and effective.
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 Output Quantity is determined by the Input Percentage for the given Material Accounting Period.
8.9 Outputs not exceed inputs	Conformance	The Entity's Material Accounting System has been developed to update information on the inventory balance on a frequent basis to ensure the total output of CoC Material does not exceed the Input Percentage. The records of ASI Aluminium in each process in the Mass Balance System demonstrate the requirement is met.
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. There is no Internal Overdraw in the accounting period.
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. There is no Internal Overdraw in the accounting period.
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 Accounting

CRITERION	RATING	COMMENT
		Period. There is no Internal Overdraw in the accounting period.
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 conformance with the requirement. The information of ASI Aluminium in the Mass Balance System demonstrates that the Entity understand the requirement and implement it.
8.11b Positive Balance (expiry)	Conformance	The Entity has established processes in the Material Accounting System that define that the Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down. The information of ASI Aluminium in the Material Accounting System demonstrates the requirement is met.
9 ISSUING CoC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has established a system to produce CoC Documents for shipment and transfer of CoC Material, ensuring that these are controlled, issued and stored as per the 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, and the date of issue is included. This was checked and confirmed during the audit.
9.2b Reference number	Conformance	The Entity issues a CoC Document for each lot of CoC Material/Product using the template defined in the ASI Chain of Custody Standard, which includes a reference number: Factory code + date + serial number + version number. This was checked and confirmed during the audit.
9.2c Issuing Entity	Conformance	The Entity issues a CoC Document for each lot of CoC Material/Product using the template defined in the ASI Chain of Custody Standard, which includes details on the issuing Entity. This was checked and confirmed during the audit.
9.2d Receiving customer	Conformance	The Entity uses the CoC Document template in the ASI Chain of Custody Standard, which includes the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number. This was checked and confirmed during the audit.
9.2e Responsible employee	Conformance	The Entity uses the CoC Document template in ASI Chain of Custody Standard, and details of the

CRITERION	RATING	COMMENT
		responsible employees who can verifying information are included. This was checked and confirmed during the audit.
9.2f Conformance statement	Conformance	The Entity uses the CoC Document template in ASI Chain of Custody Standard, and the statement confirming that “The information provided in the CoC Document is in conformance with the ASI CoC Standard.” is included. This was checked and confirmed during the audit.
9.2g Type of CoC Material	Conformance	The Entity uses the CoC Document template in ASI Chain of Custody Standard, and the types of CoC Materials in the shipment are included. This was checked and confirmed during the audit.
9.2h Mass of CoC Material	Conformance	The Entity uses the CoC Document template in ASI Chain of Custody Standard, and the mass of CoC Material is included. This was checked and confirmed during the audit.
9.2i Mass of total material	Conformance	The Entity uses the CoC Document template in ASI Chain of Custody Standard, and the mass of total Material is included. This was checked and confirmed during the audit.
9.3a Sustainability Data (optional)	Conformance	The Entity issues a CoC Document for each lot of CoC Material/Product using the template defined in the ASI Chain of Custody Standard, which includes Sustainability Data. The Entity will provide the information upon customer request.
9.3b Sustainability Data (passing on)	Conformance	The Entity has defined in the ASI CoC Management Manual, that if the customer raises a request, the Entity will provide Sustainability Data, including the origin of the Aluminium.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity uses the CoC Document template in ASI Chain of Custody Standard, and the optional Sustainability Data is included. The ASI Certification status for the ASI Performance Standard for the Entity is included. It is confirmed in the audit.
9.4 Supplementary Information (optional)	Conformance	The Entity uses the CoC Document template in ASI Chain of Custody Standard, which includes a column for supplementary information and the Entity provides supplementary information upon customer request. The accuracy of the information in issued CoC Documents was verified during the audit.
9.5 Response to verification requests	Conformance	The Entity has defined in the ASI CoC Management Manual, the responsibility to respond to verification requests. There is a process to respond to requests for

CRITERION	RATING	COMMENT
		verification of information in CoC Documents issued by the Entity. At the time of the audit, no such verification request had been received.
9.6 Error management	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record the errors, analyse the root cause, and implement associated corrective action to prevent recurrence. At the time of the audit, there is no error reported.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	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.
10.2 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. The process is managed by the Supply Department. The implementation of the process was verified during the audit.
10.4 Error management	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record the errors, analyse the root cause, and implement corrective action to prevent recurrence with suppliers. To date, no error is found or reported.
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.

CRITERION	RATING	COMMENT
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilize the ASI Market Credits System.
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.
<b>12 CLAIMS AND COMMUNICATIONS</b>		
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 and the claims and/or representations made are supported by verifiable evidence. To date, besides the CoC Documents, the Entity has not made any other types of claims.

CRITERION	RATING	COMMENT
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
2	24 May 2023	Re-Certification Audit and Scope Change – Full Certification. Updated the Supply Chain Activities and Audit Scope description for the Initial Certification Audit and Surveillance Audit to align the supply chain activity of 'Semi-Fabrication' with the ASI CoC Standard usage of 'Post-Casthouse'.