

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Chalco Ruimin Co., Ltd.

CERTIFICATE NUMBER

117

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED AUDITOR

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

8 SEPTEMBER 2023

DATE OF EXPIRY

7 SEPTEMBER 2026

CERTIFIED SINCE

8 FEBRUARY 2021

## AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto: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

Chalco Ruimin manufactures and sells Aluminium Can Body Stock, aluminium materials for electronics applications, aluminium materials for high-end offset plate and aluminium materials for transportation.

The main processes include remelting and casting, hot rolling, cold rolling and finishing carried out at two plants located at 8 Luoxingta Road, Mawei, Fuzhou, Fujian, China and Connecting Line of Jianghua Avenue, Lianhua District, Huaqiao Farm, Jiangjing Town, Fuqing, Fuzhou, Fujian, China.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Chalco Ruimin Co., Ltd.
ENTITY NAME	Chalco Ruimin Co., Ltd.
CERTIFICATION SCOPE	<p>Chalco Ruimin manufactures and sells Aluminium Can Body Stock, aluminium materials for electronics applications, aluminium materials for high-end offset plate and aluminium materials for transportation.</p> <p>The main processes include remelting and casting, hot rolling, cold rolling and finishing carried out at two plants located at 8 Luoxingta Road, Mawei, Fuzhou, Fujian, China and Connecting Line of Jianghua Avenue, Lianhua District, Huaqiao Farm, Jiangjing Town, Fuqing, Fuzhou, Fujian, China.</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouse</li><li>Material Conversion (Production and Transformation)</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Chain of Custody Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit (23 – 26 December 2020)</li><li>Surveillance Audit (18 – 20 July 2022)</li><li>Re-Certification and Scope Change Audit (26 May 2023)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>21 January 2021 (Initial Certification Audit)</li><li>17 August 2022 (Surveillance Audit)</li><li>26 May 2023 (Re-Certification and Scope Change Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>21 January 2021 (Initial Certification Audit)</li><li>17 August 2022 (Surveillance Audit)</li><li>28 July 2023 (Re-Certification and Scope Change Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (23 – 26 December 2020)</u></p> <p>The audit scope covered Chalco Ruimin's two plants: Mawei, Fuzhou, Fujian, China and at Fuqing, Fujian, China.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Casthouses</li><li>Post-Casthouse</li></ul> <p>All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.</p>

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Surveillance Audit (18 – 20 July 2022)

The audit scope covered Chalco Ruimin’s two plants: Mawei, Fuzhou, Fujian, China and at Fuqing, Fujian, China.

Supply chain activities included in the Audit Scope:

- Casthouses
- Post-Casthouse

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

Re-Certification and Scope Change Audit (23 – 25 May 2023)

The audit scope covered the operations of Chalco Ruimin ASI management system and Chalco Ruimin’s two plants: Mawei, Fuzhou, Fujian, China and at Fuqing, Fujian, China.

Supply chain activities included in the audit scope:

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

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

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AUDIT OUTCOME

Certification

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AUDIT METHODOLOGY  
DECLARATION

The Auditors confirm that:

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

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CERTIFICATION PERIOD

8 September 2023 – 7 September 2026

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NEXT AUDIT TYPE

Surveillance Audit

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NEXT AUDIT DUE DATE

8 September 2025

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CERTIFICATE NUMBER

117



If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

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## ENTITY OVERVIEW

Chalco Ruimin manufactures and sells Aluminium Can Body Stock, aluminium materials for electronics applications, aluminium materials for high-end offset plate and aluminium materials for transportation. The main processes include remelting and casting, hot rolling, cold rolling and finishing.

Chalco Ruimin employees approximately employs 1329 people and owns two plants: One plant at 8 Luoxingta Road, Mawei, Fuzhou, Fujian, China and the other plant at Connecting Line of Jianghua Avenue, Lianhua District, Huaqiao Farm, Jiangjing Town, Fuqing, Fuzhou, Fujian, China.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

	OVERALL
<b>SYSTEMS</b>	Medium
<b>RISKS</b>	Medium
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
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: <a href="https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd">https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd</a>
1.2 CoC Management System	Conformance	The Entity has established policies, systems, procedures and processes that can comply with the ASI CoC Criteria regarding a Management System. The Management System can manage ASI CoC Material. The Entity has an integrated Management System that is certified against ISO 9001. The ISO 9001 Certificate was issued by an accredited third party and is valid during the Certification Period.
1.3 CoC Management System Monitoring	Conformance	The Entity has established a process to review at least once every 12 months the Management System to assess the effectiveness of the ASI CoC management and address potential areas of non-conformance and improvement. The latest management review meeting was conducted in May 2023.
1.4 Management Representative	Conformance	The Entity has nominated a member of senior management as the ASI Management Representative to have overall responsibility for the implementation of and conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established and implemented communications and training measures that make relevant personnel aware of and are competent in their responsibilities under the ASI Chain of Custody Standard. Training records are maintained and kept.
1.6 Records Management	Conformance	The Entity has established a Record Management Procedure based on the ISO 19001 Management Procedure to maintain records (Management System) covering all applicable requirements including the retention requirement of ASI records.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has implemented an annual reporting process and reported the inputs and outputs of ASI Aluminium to ASI Secretariat in May 2023. As there was no CoC Material available in the Entity's supply chain, the Input and Output Quantity in 2022 was zero.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	This Criterion is not applicable, as the Entity does not intend to produce recycled (secondary) ASI Aluminium. The quantity of the Eligible scraps for 2022 is zero.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	Since no ASI CoC material are available in the Entity's supply chain, all Inflow and Outflow materials are Non-CoC Material relevant data is reported to ASI Secretariat
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	As there was no CoC Material available in the Entity's supply chain, no Positive Balance occurred in 2022 and is reported to ASI Secretariat.

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Positive Balance used)	Conformance	Due to no ASI CoC material are available in the Entity's supply chain, no positive balance used in 2022 and is reported to ASI Secretariat.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	As there was no CoC Material available in the Entity's supply chain, no Internal Overdraw occurred in 2022 and is reported to ASI Secretariat.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	Due to no ASI CoC material are available in the Entity's supply chain, there were no Intra-Entity Flows in 2022 and is reported to ASI Secretariat.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Conformance	The Entity has established and implemented an outsourcing management procedure, which is stated in ASI CoC Management Manual. The Entity currently has an outsourcer who mainly provides the surface coating service for the Entity, the Outsourcing Supplier will be included in the certification scope in future when CoC material is available.
2.2a Control of CoC Material (Legal ownership or control)	Conformance	The Entity has established procedures and contract items to define and control the ownership of CoC Material sent to Outsourcing Contractors. Currently, only one Outsourcing Contractor is used, the contract between the Entity and the outsourcer and shipment invoice state the Entity has entire legal ownership and control of all material transported to the outsourcer. As no ASI CoC material are available in the Entity's supply chain, no CoC material has been forwarded to the outsourcer.
2.2b Control of CoC Material (No further outsourcing)	Conformance	The Entity has established and implemented an outsourcing management procedure and Management Manual for the implementation of the ASI Standards for Supply Chains that require control of Outsourced Contractors. CoC Material shall not be further outsourced for any processing, treatment or manufacturing and is specified in outsourcing contractual agreement and procedures. No material has been forward to the outsourcer or re-forward to other subcontractors.
2.2c Control of CoC Material (Risk assessment)	Conformance	The Entity has assessed and determined the risk of potential non-conformance with the CoC standard resulting from the engagement of each Outsourcing Contractor to be acceptable through the standard procurement procedures. The risk assessment report and supply chain audit reports indicate the risk is low.
2.3 Information on Quantity of CoC Material Output and Returned	Conformance	The Entity has established processes to ensure that the Outsourcing Contractor provides information on Outputs and Returned Quantity of CoC Material to the Entity at the end of the Entity's Material Accounting Period. No ASI CoC material has been forwarded to or returned from the outsourcer, as no ASI CoC material are available in the Entity's supply chain.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Conformance	The Entity has established processes to verify the Inflow and Outflow Quantity of CoC Material to and from Outsourcing Contractor and record it in its Material Accounting System. Currently, no ASI CoC

CRITERION	RATING	COMMENT
		material has been forwarded to and returned from outsourcer as no ASI CoC Material are available in the Entity's supply chain.
2.5 Error (Outsourcing Contractor)	Conformance	The Entity has established processes to handle errors when they are discovered after CoC Material has been shipped. The Entity and the Outsourcing Contractor shall document the error and the agreed steps taken to correct it and implement actions to avoid recurrence. Currently, no ASI CoC material has been forwarded to and returned from outsourcer as no ASI CoC Material are available in the Entity's supply chain.

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

3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Alumina (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2c ASI Alumina (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

### 4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP

4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented processes and systems to ensure that ASI Liquid Metal is exclusively produced by ASI CoC certified Facilities within the Entity's CoC certification scope.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The established system guarantees that ASI Liquid Metal is exclusively produced from Aluminium Facilities that are Certified against the ASI Performance Standard. The verification of the CoC Material Accounting System, developed in Excel format, confirms this adherence.

CRITERION	RATING	COMMENT
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity's Material Accounting System is designed to manage and track Eligible Scrap introduced into the value chain. Pre-Consumer Scrap categorised as CoC Material originates from their own Facilities, specifically falling within the Entity's CoC Certification Scope. This has been substantiated through CoC Material Management Procedures and the CoC Material Accounting System.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	The Criterion is not applicable as the Entity does not use Post-Consumer Scrap
4.2c Eligible Scrap (Dross)	Conformance	The Recycled Aluminium extracted from Aluminium Dross is entirely sourced from the Aluminium Dross generated during the Entity's manufacturing processes. The Entity has conducted a Due Diligence assessment of the Aluminium Dross recovery and processing vendor in accordance with ASI Standards.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has established a supplier management procedure and maintains a repository of qualified supplier records. Information about all suppliers, including details of recyclable scrap material suppliers, is documented within the supplier files.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	The Entity adheres to a rigorous financial and cash management system, mandating that all transactions, including those with direct suppliers of recyclable scrap material, must be conducted through bank transfers. Financial records and reports are subjected to third-party financial audits, ensuring their accuracy and reliability.

#### 5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's Material Accounting System ensures production of ASI Aluminium is only from the Casthouse that is within the Entity's CoC Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Audit Scope of the ASI Performance Standard covers the Casthouse. The certification information of the Entity's ASI Performance Standard is available at: <a href="https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd">https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd</a>
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established processes for supply chain control and implemented a procurement management procedure to ensure all ASI Aluminium are directly or indirectly sourced from an ASI CoC Certified Entity. Currently, no ASI CoC Material was purchased in 2020, 2021 and 2022 as no ASI CoC products are required.
5.2 Unique Identification	Conformance	The Entity has implemented systems to ensure that unique identification numbers can be linked to their Material Accounting System. The Material Accounting System on the Casthouse site of the Entity is ready and has been tested. At the time of the audit, there were no real production examples of implementation of the system as no ASI CoC Material are available in the Entity's supply chain.



CRITERION	RATING	COMMENT
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented systems to ensure production of ASI Aluminium are only from the facilities that are within the Entity's CoC Certification Scope. The management of these responsibilities are assigned to the Purchasing Department.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has implemented systems to ensure that it produces ASI Aluminium only from the Entity's Facilities certified against the ASI Performance Standard. The certification information of the Entity's ASI Performance Standard is available at: <a href="https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd">https://aluminium-stewardship.org/about-asi/asi-members/chalco-ruimin-co-ltd</a>
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented systems to ensure that ASI Aluminium is purchased only from the eligible Entities/Facilities directly or indirectly via a metals trader or warehouse. At the time of the audit, there were no examples of effective implementation of the system as there was no sourcing and transfer of CoC Material.
<b>7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL</b>		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has implemented an Anti-Corruption Policy and a Responsible Sourcing Policy where Anti-Corruption is one of the principles. Relevant training courses are provided to employees. All identified major next tier suppliers are informed on the Policies and must sign a Commitment Letter of Business Ethics.  The responsible sourcing policy is available at: <a href="http://www.ruimin.com/plugin/apop/zlrm/viewResponsibility.pw?id=182">http://www.ruimin.com/plugin/apop/zlrm/viewResponsibility.pw?id=182</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented a Responsible Purchasing Policy and relevant training courses are provided to employees. All identified major next tier suppliers are informed of the Policy and must sign a Commitment Letter of Business Ethics.  The Responsible Sourcing Policy is available at: <a href="http://www.ruimin.com/plugin/apop/zlrm/viewResponsibility.pw?id=182">http://www.ruimin.com/plugin/apop/zlrm/viewResponsibility.pw?id=182</a>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented a Responsible Purchasing Policy, which addresses Human Rights Due Diligence. All identified major next tier suppliers are informed about the Policy and must sign a Commitment Letter of Business Ethics.  The Responsible Sourcing Policy is available at: <a href="http://www.ruimin.com/plugin/apop/zlrm/viewResponsibility.pw?id=182">http://www.ruimin.com/plugin/apop/zlrm/viewResponsibility.pw?id=182</a>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a Responsible Sourcing Policy which addresses Conflict-Affected and High-Risk Areas. Relevant training course is provided to employees. All identified major next tier suppliers are informed about the Policy and must sign the Commitment Letter of Non-Conflict-Minerals. The Responsible Purchasing Policy is available at:

CRITERION	RATING	COMMENT
		<a href="http://www.ruimin.com/plugin/apop/zlrm/viewResponsibility.pw?id=182">http://www.ruimin.com/plugin/apop/zlrm/viewResponsibility.pw?id=182</a>
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established a due diligence process to manage supply chain risks. The Entity conducts risk assessments of its suppliers and completes risk mitigation efforts where relevant. The Entity also conducts second party audits of its major next tier suppliers.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has implemented a complaints mechanism and established a whistleblower/complaints channel to enable employees and external Stakeholders to anonymously report potential misconducts (hotline: +86-0591-88028328, mailbox: <a href="mailto:rmjj@ruimin.com">rmjj@ruimin.com</a> ). The information is available at: <a href="http://www.ruimin.com/plugin/login/ruimin-website/respon.htm">http://www.ruimin.com/plugin/login/ruimin-website/respon.htm</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 can record Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass. At the time of this audit, there is no ASI material available in the Entity's supply chain. The Entity has undertaken a simulation case to demonstrate how the Mass Balance System works and was reviewed at the audit.
8.2 Material Accounting Period	Conformance	The Entity has defined the Material Accounting Period as 12 months - January 1 to December 31.
8.3 Input and Inflow Quantities	Conformance	The Entity will record the quantities of each CoC Material and Eligible Scrap input and the quantities of Non-CoC Material and Recyclable Scrap Material Inflow and determine the Inflow quantity of Eligible Scrap and Recyclable Scrap Material based on an assessment of Aluminium content. At the time of this audit, there is no ASI material available in the Entity's supply chain.
8.4 Output Quantities of CoC Material	Conformance	The Entity's Material Accounting System can manage the available Quantities of CoC Material for Output and determine the input quantities for each CoC Material proportional to the total inflows of CoC and Non-CoC material by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity has defined in the Chain of Custody Management Manual, the Output Quantity of CoC Material shall be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has defined in the Chain of Custody Management Manual to designate the relevant proportion of scraps generated in the production processes as Eligible scrap using the same percentage share as for its Output of ASI Aluminium.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has defined in the Chain of Custody Management Manual that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap over the Material Accounting Period.

CRITERION	RATING	COMMENT
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has defined in the Chain of Custody Management Manual that the internal overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period in the case that the internal overdraw has to be made.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has defined in the Chain of Custody Management Manual that the internal overdraw shall not exceed the amount of CoC Material affected by the Force Majeure situation for the Material Accounting Period in the case that the internal overdraw has to be made. The Entity's Material Accounting System should draw down the Internal Overdraw from the subsequent Material Accounting Period.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has defined in the CoC Management Manual that Internal Overdraws must be made up within the subsequent Material Accounting Period. At the time of the audit, there were no examples of effective implementation of the System, as no ASI CoC Material was available in the Entity's supply chain.
8.9a Positive Balance (Carry over)	Conformance	The Entity has defined in the CoC Management Manual how to manage the Positive Balance and the positive balance may be carried over to the subsequent Material Accounting Period. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Materials were available in the Entity's supply chain.
8.9b Positive Balance (Expiry)	Conformance	The Entity has defined in the CoC Management Manual that defined a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period must expire at the end of that Period if not drawn down. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.

## 9. ISSUING COC DOCUMENTS

9.1 CoC Document	Conformance	The Entity has established a system that can issue the CoC Documents for each shipment and transfer, ensuring that these are controlled, issued, and stored according to 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 ASI CoC Material was available in the Entity's supply chain.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has developed an ASI CoC Document template, the date of issue is included.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has developed an ASI CoC Document template, the reference number is included.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has developed an ASI CoC Document template, Chalco Ruimin Co., Ltd. is included as the Issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has developed an ASI CoC Document template and includes information about the identity and address of the customer

CRITERION	RATING	COMMENT
		receiving the CoC Material, and if it is another CoC Certified Entity, its CoC Certification Number is included.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has developed an ASI CoC Document template and includes information of the responsible employee who can verify the information the document.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has developed an ASI CoC Document template and includes the statement confirming that "The information provided in the CoC Document is in Conformance with the ASI CoC Standard".
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has developed an ASI CoC Document template and includes Type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has developed an ASI CoC Document template and includes the mass of CoC Material.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has developed an ASI CoC Document template and includes the mass of total Material.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has defined in the Chain of Custody Management Manual, if a customer raises the request, the data on the average (preferably cradle-to-gate) carbon footprint of the CoC Material and accounting method applied would be shared with the customer.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity has defined in the Chain of Custody Management Manual, if a customer raises the request, information on the origin of Aluminium would be share with the customer.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity has defined in the Chain of Custody Management Manual, if a customer raises the request, information of recycled content including methodology regarding Pre-Consumer Scrap and Post-Consumer Scrap, of the CoC Material would be shared with the customer.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity has developed an ASI CoC Document template and 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 ASI CoC Material was available in the Entity's supply chain.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has developed an ASI CoC Document template and includes a column for supplementary information. The Entity can provide the supplementary information per the requirements for the customer including a mechanism to ensure that the Supplementary Information can be supported by Objective Evidence. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.

CRITERION	RATING	COMMENT
9.5 Verification of Information	Conformance	The Entity has established the process and assigned the responsibility to respond to the verification requests. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
9.6 Error (Shipping)	Conformance	The Entity has defined in the Chain of Custody Management Manual, the process on how to manage and communicate the information when an error is found. The Entity has integrated error management processes to manage errors and prevent them from re-occurring. At the time of the audit, there were no examples of effective implementation of the System, as no ASI CoC Material was available in the Entity's supply chain.

## 10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has defined in the Chain of Custody Management Manual, the process and responsibility for the verification of the information on received CoC Documents. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has defined in the Chain of Custody Management Manual, the process and responsibility for the verification of the consistency of received CoC Documents with the accompanying CoC Material, or Eligible Scrap, before recording the information in the Material Accounting System. At the time of the audit, there were no examples of effective implementation of the system as no ASI CoC Material was available in the Entity's supply chain.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has defined in the Chain of Custody Management Manual the process and responsibility to verify supplier CoC Certification status. The Purchasing Department is responsible to verify the supplier CoC Certification status by checking the ASI website every month.
10.4 Error (Reception)	Conformance	The Entity has integrated the error management process with their current processes, which was robust documenting errors, Corrective Actions, and any potential preventive measures.

## 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has defined in the Chain of Custody Management Manual where the Entity makes claims and/or representations about CoC Material outside of CoC Documents, the authorise personnel will check if these are made in a manner and form consistent with the ASI Claims Guide. No claims are made as there is no ASI material in the Member's supply chain.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity assigns roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide and there shall be the verifiable evidence to support the claims and/or representations made. At the time of the audit, no claims, or representations about CoC Material outside of CoC Documents are made by the Member.

CRITERION	RATING	COMMENT
11.1c Claims and Communications (Employee training)	Conformance	The Entity has defined training process in the ASI Management Manual to provide training to the relevant employees on claims and communications and to make sure the relevant persons have the knowledge of the ASI CoC standard and the competency to fulfil their tasks.

#### ASI LIMITATION OF LIABILITY DISCLAIMER

Organisations that make ASI-related claims are each responsible for their own compliance with Applicable Law, including laws and regulations related to labelling, advertisement, and consumer protection, and competition or antitrust laws, at all times. ASI does not accept liability for any violations of Applicable Law or any infringement of third-party rights (each a Breach) by other organisations, even where such Breach arises in relation to, or in reliance upon, any ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI. ASI gives no undertaking, representation or warranty that compliance with an ASI Standard, document or other material, recommendation or directive issued by or on behalf of ASI will result in compliance with any Applicable law, or will avoid any Breach from occurring.

#### DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	8 February 2021	Initial Certification Audit
1	9 September 2022	Surveillance Audit
2	12 September 2023	Re-Certification and Scope Change Audit from ASI Chain of Custody Standard V1 to V2