

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Yunnan Yongshun Aluminium Co., Ltd.

CERTIFICATE NUMBER

137

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED AUDITING
FIRM

DNV BUSINESS
ASSURANCE
SERVICES UK LTD.

DATE OF ISSUE

25 JANUARY 2024

DATE OF EXPIRY

24 JANUARY 2027

CERTIFIED SINCE

3 AUGUST 2021

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'Jha', with 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*

CERTIFICATION SCOPE

The production of mid-to-high-end aluminium alloy ingots by Yunnan Yongshun Aluminium Co. Ltd, which is jointly funded by Yongxin Aluminium Co. Ltd of Yunnan Aluminium Group and Xiamen Xiashun Aluminium Foil Co. Ltd. The Entity's activities include smelting, casting and sawing processes used in the manufacture of aluminium alloy flat ingots.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Yunnan Yongshun Aluminium Co., Ltd.
ENTITY NAME	Yunnan Yongshun Aluminium Co., Ltd.
CERTIFICATION SCOPE	The production of mid-to-high-end aluminium alloy ingots by Yunnan Yongshun Aluminium Co. Ltd, which is jointly funded by Yongxin Aluminium Co. Ltd of Yunnan Aluminium Group and Xiamen Xiashun Aluminium Foil Co. Ltd. The Entity's activities include smelting, casting and sawing processes used in the manufacture of aluminium alloy flat ingots.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthouses
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit (12 April 2021)Re-Certification and Scope Change Audit (3 November 2023)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">12 April 2021 (Initial Certification Audit)3 November 2024 (Re-Certification and Scope Change Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">24 June 2021 (Initial Certification Audit)17 November 2023 (Re-Certification and Scope Change Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (12 April 2021)</u></p> <p>The audit scope covers smelting, casting and sawing processes for the manufacture of aluminium alloy flat ingots at Yunnan Yongshun Aluminium Co., Ltd.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthouses <p>Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Re-Certification and Scope Change Audit (3 November 2023)</u></p> <p>The audit scope covers the re-smelting/refining and casthouse activities for the manufacture of aluminium alloy large flat ingots.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthouses <p>Relevant Criteria from the ASI Chain of Custody Standard were included in the Audit Scope.</p>

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.
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CERTIFICATION PERIOD 25 January 2024 – 24 January 2027

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 25 January 2025

CERTIFICATE NUMBER 137



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.

ENTITY OVERVIEW

Yongshun Aluminum is a joint venture company by Yunnan Aluminum Co., LTD and Xiamen Xiashun Aluminum Foil Co., LTD on December 1, 2017. The company specialises in producing 150,000 tonnes of high-end new Aluminium alloy materials. The production process includes melting the aluminium liquid, casting the flat ingot, and sawing the ingot. The project is spread across 40 acres of land with 80 employees working in the production workshop, laboratories, and administrative offices. Yunnan Yunlv Yongxin Aluminum Co., LTD provides accommodation, entertainment, and other living facilities for employees.

The project is located in the Yangjie Industrial Zone of Jianshui County Industrial Park, which is adjacent to Maitre County, Kaiyuan City, and Gejiu City in the east, Yuanyang County in the south, Shiping County in the west, and Tonghai County and Huaning County in Yuxi City in the north. The plant site is located approximately 11 kilometres from Jianshui County, Honghe Hani and Yi Autonomous Prefecture.

The project is an aluminium processing project, and the planning layout is in line with the overall planning of Jianshui Industrial Park. The area focuses on the development of metallurgical deep processing, new building materials, fine chemicals, and manufacturing, in line with regional development policies.

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	
SYSTEMS	Medium
RISKS	Low
PERFORMANCE	Medium
OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is an ASI member with good standing in the Production and Transformation membership class. The Entity commits to comply with ASI's membership obligations and the ASI Complaints Mechanism.
1.2 CoC Management System	Conformance	The Entity has established an ASI CoC management manual, which has defined a Management System that addresses all applicable requirements of the ASI Chain of Custody Standard.
1.3 CoC Management System Monitoring	Minor Non-Conformance	The Entity has established a Management Review Meeting Procedure that defines that the Management System should be reviewed once a year. However, the management review meeting for the ASI Chain of Custody Standard Version 2 has not yet been conducted.
1.4 Management Representative	Conformance	The Entity has nominated one Management Representative as having overall responsibility and authority for the Entity's conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established a Communications Procedure and Training Procedure that defines the communications and training measures to make relevant personnel aware of and competent in their responsibilities under the ASI Chain of Custody Standard. The Entity has implemented a 2023 training plan including an ASI Chain of Custody Standard training course.
1.6 Records Management	Conformance	The Entity has established a procedure for record control that defines they will maintain up-to-date records covering all applicable requirements of the ASI Chain of Custody Standard and the records be retained for at least five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has reported the Input and Output Quantities of CoC Material to ASI. There was no CoC Material in the Entity in 2022.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	The Entity has reported the Inputs and Outputs of Eligible Scrap to ASI. There was no Eligible Scrap in the Entity in 2022.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has reported the Inflow and Outflow of non-CoC Material for 2022 to ASI.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has reported to ASI that there is no CoC Material in the Entity for 2022, there was no Positive Balance was carried over.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has reported to ASI that no Positive Balance was used in 2022.

CRITERION	RATING	COMMENT
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has reported to ASI that there was no CoC Material in the Entity in 2022. There was no Internal Overdraw and it was not drawn down.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity reported the Input and Output Quantities of CoC Material to ASI. There was no CoC Material used in 2022.
2. OUTSOURCING CONTRACTORS		
2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope, the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope, the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope, the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope, the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope, the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope, the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope, the Entity does not use Outsourcing Contractors for further processing, treatment or manufacturing.
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.

CRITERION	RATING	COMMENT
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 established an ASI CoC management manual and ASI CoC management procedure which both define the ASI Aluminium delivered by the Entity must be produced from the Entity.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity has established, implemented and maintains their Management System according to the ASI Performance Standard. The Entity has committed to maintaining an effective Management System against the ASI Performance Standard to maintain their ASI Certification.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity has established an ASI CoC management procedure which specifies it must account for Eligible Scrap in their Material Accounting System only from the sources as defined in the ASI Chain of Custody Standard. A simulation case shows that they have fulfilled this requirement.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity has established an ASI CoC management procedure which specifies that they must account for Eligible Scrap in their Material Accounting System as only the Scrap that is assessed by the Entity to be post-consumer in origin and subject to supplier Due Diligence. A simulation case demonstrates that the Entity has fulfilled this requirement.
4.2c Eligible Scrap (Dross)	Conformance	The Entity has established an ASI CoC management procedure which specifies that they account for Eligible Scrap in their Material Accounting System as only Aluminium recovered from Dross and other Aluminium-containing wastes that are subject to supplier Due Diligence. A simulation case demonstrates that the Entity has fulfilled this requirement.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has established an ASI CoC management procedure which defined a system to record relevant details of direct suppliers of Recyclable Scrap and cash payment is not allowed. Until now, the Entity only purchases alloy ingots, no scrap is purchased.
4.3b Records Management for Direct Suppliers of	Conformance	The Entity has established an ASI CoC management procedure which defined a system to record relevant details of direct suppliers of

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Financial transactions)		Recyclable Scrap and cash payment is not allowed. Until now, the Entity only purchases alloy ingots, and no scrap is purchased.
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established an ASI CoC management procedure which defines that all ASI Aluminium delivered by the Entity must be only from the Casthouse within its CoC Certification Scope. A simulation case demonstrates that the Entity has fulfilled this requirement.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity establishes, implements and maintains their Management System according to the ASI Performance Standard. The Entity commits to maintaining an effective Management System against the ASI Performance Standard to maintain their ASI Certification.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established an ASI CoC management procedure which defines the materials for ASI Aluminium must be only from the sources defined in the ASI Chain of Custody standard. A simulation case demonstrates that the Entity has fulfilled this requirement.
5.2 Unique Identification	Conformance	The Entity has established an ASI CoC management procedure that defines the unique identification numbers that will be physically stamped on ASI Aluminium.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has implemented a Responsible Purchasing Policy and Supplier Code of Conduct including the requirements on Anti-Corruption. Both documents are communicated to all suppliers.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented the Responsible Purchasing Policy and Supplier Code of Conduct including the requirements for responsible sourcing. Both documents are communicated to all suppliers.
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented a Responsible Purchasing Policy and Supplier Code of Conduct including the requirements on Human Rights Due Diligence. Both documents are communicated to all suppliers.

CRITERION	RATING	COMMENT
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity develops and implements the Responsible Purchasing Policy and Supplier Code of Conduct including the requirements on Conflict-Affected and High-Risk Areas (CAHRA). Both documents are communicated to all suppliers.
7.2 Risk Assessment and Mitigation	Conformance	The Entity has identified their major next-tier suppliers including the material suppliers, established a supplier audit plan, and regularly conducts second-party Due Diligence audits at major next-tier suppliers' sites (four suppliers) and requests the suppliers to develop and implement corrective actions based on the audit findings. Based on the audit result, the major next-tier suppliers are either qualified or disqualified.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a complaints mechanism, which is appropriate to the nature, scale and impact of the business and that provides for interested parties to voice concerns about non-compliance with its Responsible Sourcing Policy in its Aluminium supply chain. The complaints channels include a hotline and a general manager mailbox.

8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity's CoC Management System includes a Material Accounting System that records the Input and Output Quantity of CoC Material and Non-CoC Material by mass. Until now, there has been no CoC Material in the Entity's supply chain, the Entity does not deliver any ASI Aluminium to the customer. A simulation case conducted by the Entity demonstrated how the Material Accounting System works and confirmed that they have fulfilled this requirement.
8.2 Material Accounting Period	Conformance	The Entity has defined within the ASI CoC management procedure that the Material Accounting Period is a calendar year.
8.3 Input and Inflow Quantities	Conformance	The Entity has defined within the ASI CoC management procedure the quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow included in the Certification Scope must be recorded in the Material Accounting System. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material shall be based on an assessment of Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	The Entity has defined within the ASI CoC management procedure that over the given Material Accounting Period the Entity must use the Input Quantities for each CoC Material to determine the available Quantities of CoC Material for Output, proportional to total Inflows of CoC and Non-CoC Materials, by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity has defined within the ASI CoC management procedure that the Output Quantity of CoC Material, which may be a subset of total production, must be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has defined within the ASI CoC management procedure that if the Entity wishes to designate the relevant proportion of the scraps generated in the production processes as Eligible Scrap, the

CRITERION	RATING	COMMENT
		Entity must, for the given Material Accounting Period, use 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 within the ASI CoC management procedure 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.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a procedure that defines that the Internal Overdraw shall not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a procedure that defines that the Entity's Material Accounting System may draw down an Internal Overdraw from the subsequent Material Accounting Period, the Internal Overdraw did not exceed the amount of CoC Material affected by the Force Majeure situation.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has established a procedure that defines that the Internal Overdraw must be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established an ASI CoC management procedure that defines when there is a Positive Balance of CoC Material at the end of a Material Accounting Period, this may be carried over to the subsequent Material Accounting Period.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a procedure which defines that a Positive Balance generated in a single Material Accounting Period and carried over to the subsequent Material Accounting Period, will expire at the end of that Period if not drawn down.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity has established a procedure that defines the CoC Document form which is the ASI CoC Document Template defined in the ASI Chain of Custody Standard. Until now, there is no CoC Material in the Entity's supply chain, no ASI Aluminium has been delivered by the Entity, and no CoC Document has been issued.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has established a procedure that defines the CoC Document form, which is the ASI CoC Document Template, the Date of issue is included.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has established a procedure that defines the CoC Document form, which is the ASI CoC Document Template, the Reference number is included. The number is linked to the Entity's Material Accounting System for verification purposes.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has established a procedure that defines the CoC Document form which is the ASI CoC Document Template. The identity, address and CoC Certification number of the Entity issuing the CoC Document are included in this form.

CRITERION	RATING	COMMENT
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has established a procedure that defines the CoC Document form which is the ASI CoC Document Template. The identity and address of the customer receiving the CoC Material, and their CoC Certification number if it is another CoC Certified Entity, are included in this form.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has established a procedure that defines what the CoC documents form which is the ASI CoC Document Template defined in the ASI Chain of Custody Standard. In the form, the responsible employee of the Entity who can verify information in the CoC Document is included. CoC Documents in the simulation case demonstrate the requirement is met.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has established a procedure that defines the CoC Document form which is the ASI CoC Document Template. The identity, and a statement confirming that "The information provided in the CoC Document is in Conformance with the ASI Chain of Custody Standard." is included in the form.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has established a procedure that defines the CoC Document form which is the ASI CoC Document Template. The Type of CoC Material in the shipment is included in the form.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has established a procedure that defines the CoC Document form which is the ASI CoC Document Template. The Mass of CoC Material in the shipment is included in the form.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has established a procedure that defines the CoC Document form which is the ASI CoC Document Template. The Mass of the total Material in the shipment is included in the form.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has established a procedure that defines the CoC Document form which is the ASI CoC Document Template. In the form, the average (preferably cradle-to-gate) carbon footprint of the CoC Material and accounting method applied would be included per the customer's request.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity has established a procedure that defines the CoC Document form. In the form, information to support the origin of Aluminium would be included upon customers' request.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has established an ASI CoC management procedure that defines that the CoC Document includes Supplementary Information about the Entity or CoC Material, and it can be supported by Objective Evidence.

CRITERION	RATING	COMMENT
9.5 Verification of Information	Conformance	The Entity has established a procedure which defines the salesperson, who is responsible for replying to reasonable requests about the CoC Documents.
9.6 Error (Shipping)	Conformance	The Entity has established an ASI CoC management procedure that defines the corrective action for non-conformances. Interviewed related personnel, demonstrate they understand their responsibilities such as recalling the CoC documents if required.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity has established an ASI CoC management manual which defines the process of how to check the CoC Document of Input CoC Material.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established a procedure that defines the process to verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established a procedure that defines the process of checking the ASI website regularly to verify the validity and scope of any changes in the supplier's ASI CoC Certification.
10.4 Error (Reception)	Conformance	The Entity has established an ASI CoC management manual which defines that If an error is discovered after CoC Material or Eligible Scrap has been received, the Entity requests the supplier to document the error and the agreed steps taken to correct it and if required, implement actions to avoid a reoccurrence.
11. CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has established a CoC management procedure which defines all claims and communications must follow the ASI Claims Guide when the Entity makes claims and/or representations about CoC Material outside of CoC Documents. At the time of the Audit, there were no examples of implementation of the system as no ASI CoC Materials were present in the Entity's supply chain.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has established a CoC management procedure which defines there must be verifiable evidence to support the claims and/or representations made when the Entity makes claims and/or representations about CoC Material outside of CoC Documents.
11.1c Claims and Communications (Employee training)	Conformance	The Entity provides training on the requirements of claims and/or representations to the relevant personnel. The interviewed person confirms they have received training and understand the requirements on claims and communications.

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	3 August 2021	Initial Certification Audit – Full Certification
1	25 January 2024	Re-Certification and Scope Change Audit – Full Certification Scope Change from Chain of Custody Standard V1 to V2. Change of Accredited Auditing Firm from SGS-CSTC Standards Technical Services to DNV Business Assurance Services UK Ltd.