

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Stockach Aluminium GmbH

CERTIFICATE NUMBER

98

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED AUDITING
FIRM

GUTCERT (AFNOR
GROUP)

DATE OF ISSUE

9 FEBRUARY 2024

DATE OF EXPIRY

8 FEBRUARY 2027

CERTIFIED SINCE

3 OCTOBER 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*

CERTIFICATION SCOPE

Stockach Aluminium remelt and
casthouse operations in Germany.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	StockachAlu
ENTITY NAME	Stockach Aluminium GmbH
CERTIFICATION SCOPE	Stockach Aluminium remelt and casthouse operations in Germany.
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 (23 – 24 July 2020)Surveillance Audit (26 April 2022)Re-Certification and Scope Change Audit (25 September – 7 December 2023)
AUDIT FIRM	GUTCert (AFNOR Group)
AUDIT DATE	<ul style="list-style-type: none">23 – 24 July 2020 (Initial Certification Audit)26 April 2022 (Surveillance Audit)25 September – 7 December 2023 (Re-Certification and Scope Change Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">10 September 2020 (Initial Certification Audit)19 August 2022 (Surveillance Audit)9 January 2024 (Re-Certification and Scope Change Audit)
AUDIT SCOPE	<p><u>Initial Certification Audit (23 – 24 July 2020)</u></p> <p>The audit scope includes all integrated recycling of aluminium scrap (Remelting) and production of rolling slabs (Casthouse).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthouses <p>All relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Surveillance Audit (26 April 2022)</u></p> <p>The audit scope includes all integrated recycling of aluminium scrap (Remelting) and production of rolling slabs (Casthouse).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthouses <p>All relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p>

Re-Certification and Scope Change Audit (25 September – 7 December 2023)

The audit scope includes all integrated recycling of aluminium scrap (Remelting) and production of rolling slabs (Cathouse).

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses

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

AUDIT OUTCOME Certification

AUDIT METHODOLOGY
DECLARATION

The Auditors confirm that:

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

CERTIFICATION PERIOD 9 February 2024 – 8 February 2027

NEXT AUDIT TYPE Re-Certification Audit

NEXT AUDIT DUE DATE 8 February 2027

CERTIFICATE NUMBER 98



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

Stockach Aluminium GmbH (the Entity) is an aluminium smelter that is 100% owned by BAGR Berliner Aluminiumwerk GmbH, located in southern Germany and currently employs approximately 120 employees. The Entity is focused on the production of rolling ingots from scrap remelting. The current production capacity is approximately 70,000 tonnes per annum of rolled bars and sows. Current scrap usage is approximately 90,000 tonnes per annum. The Entity produces rolled ingots of alloy groups 1xxx, 3xxx, 4xxx, 5xxx, 6xxx, 7xxx and 8xxx across many formats from between 378 mm to 1,100 mm thick and 960 to 2,070 mm wide. The Entity also offers remelting of Aluminium Dross and metal scrap into Aluminium sows and has a flexible production setup consisting of two continuous casting plants, two hearth melting and casting furnaces, one holding and casting furnace and five rotary drum or tilting drum kilns.

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	High
PERFORMANCE	High
OVERALL	HIGH

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is an active ASI Member in good standing since December 2018 within the production and transformation membership class and has committed to ASI's membership obligations. Refer to: https://aluminium-stewardship.org/about-/asi-members/stockachalu and https://www.stockachalu.de
1.2 CoC Management System	Conformance	The Entity has established a Management System that addresses all applicable requirements of the ASI Chain of Custody Standard. It has implemented relevant Policies, systems, procedures and processes. The Management System includes a robust Material Accounting System based on the Entity's materials Management System.
1.3 CoC Management System Monitoring	Conformance	The Entity has established a mechanism for the periodic review and update of its Chain of Custody Management System, in line with the other facets of its integrated Management System.
1.4 Management Representative	Conformance	The Entity's Managing Director has taken overall responsibility for the implementation of the ASI Standards within the Entity. The specific requirements regarding the ASI Chain of Custody Standard are delegated to the specialists within the company (Quality, Sales & Purchasing, Controlling). Roles and responsibilities are defined in writing and are communicated within the Entity.
1.5 Communications and Training	Conformance	The Entity has conducted a Chain of Custody specific training for relevant personnel and intends to raise awareness amongst all employees.
1.6 Records Management	Conformance	The Entity has implemented measures to ensure that up-to-date records covering all applicable requirements of the ASI Chain of Custody Standard are maintained and retained for a minimum of five years as defined in a procedure.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included information on the Input and Output Quantities of CoC Materials for the calendar year.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included the total Input Quantity of Eligible Scrap, with a breakdown by Post-Consumer Scrap and Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity within the calendar year.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included the Inflow and Outflow quantities of Non-CoC Material to/from the Certified Entity over the calendar year.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included the maximum Positive Balance for the calendar year carried over to the subsequent Material Accounting Period, if any.

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included the Positive Balance used, if any.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included the Internal Overdraw drawn down from the subsequent Material Accounting Period, if any.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	This Criterion is not applicable, as the Entity has only one type of CoC Material Output.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.

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 an integrated re-melting and casting process and by design it is ensured that ASI Aluminium is only produced.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity has an integrated re-melting and casting process and ensures that ASI Aluminium is only produced. The integrated Casthouse is Certified according to the ASI Performance Standard. Refer to: https://aluminium-stewardship.org/about-asi/asi-members/stockachalu
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity has established procedures and processes to ensure that only Pre-Consumer Scrap is accounted for as Eligible Scrap.
4.2b Eligible Scrap (Post-Consumer)	Conformance	Post-Consumer Scrap is only accounted for as Eligible Scrap if the Due Diligence assessment confirms an acceptable risk level.
4.2c Eligible Scrap (Dross)	Conformance	The Entity has established procedures and processes to ensure that only Aluminium recovered from Dross and other Aluminium containing wastes that were subject to supplier Due Diligence will be accounted for as Eligible Scrap. Internally generated Dross and scrap is re-fed into the production. These quantities are reflected in the Entity's Mass Balance System.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has a robust process in place to gather and verify information about recyclable scrap suppliers. The information can be easily retrieved in the Entity's accounting system.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	Since February 2019, the Entity has not made any cash payments to direct suppliers of Recyclable Scrap Material, as confirmed by the ledger.

CRITERION	RATING	COMMENT
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's Casthouse is within the CoC Certification Scope, which is defined as "Integrated recycling of aluminium scrap (re-melting) and production of rolling slabs (casthouse)".
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity has achieved Certification against the ASI Performance Standard: https://aluminium-stewardship.org/about-asi/members/StockachAlu The Certification Scope is "Integrated recycling of aluminium scrap (Re-melting) and production of rolling slabs (Casthouse)".
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has a process in place to ensure that ASI Aluminium is sourced only directly from another ASI CoC Certified Entity, or via a Trader, where the ASI CoC Certified Entity that is the source of the ASI Aluminium can be identified and can provide a verified CoC Document. Until the time of the audit, the Entity has not yet sourced ASI Aluminium.
5.2 Unique Identification	Conformance	The Entity's Material Accounting System is designed to ensure that all Inputs as well as Outputs of CoC Material is identified by unique identification numbers. These numbers are traceable within the Entity's IT system. All Outputs of ASI CoC Material can be linked to the Input Quantity of CoC Material for a given Material Accounting Period. ASI Aluminium will be stamped with a unique batch number, and physically marked as CoC Material.
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 issued and communicated a Supplier Code of Conduct (https://www.stockachalu.com/app/download/760365418/Lieferanten+Verhaltenskodex.pdf?t=1595519058) and also a Responsible Sourcing Policy (https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+2020.pdf?t=1595519122) both available on the Entity's website. Both documents address Anti-Corruption.

CRITERION	RATING	COMMENT
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has issued and communicated a supplier Code of Conduct and a Responsible Sourcing Policy in line with responsible sourcing of the ASI Performance Standard.
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has issued and communicated a Responsible Sourcing Policy which addresses Human Rights Due Diligence.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has issued and communicated a Responsible Sourcing Policy which addresses Conflict-Affected and High-Risk Areas.
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established a Due Diligence Process to identify and evaluate risks in the supply chain. Risk levels of relevant suppliers are rated as low or acceptable.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has a system in place to receive and manage feedback, including complaints and grievances of Stakeholders. A dedicated email address has been established where Stakeholders can direct their concerns: compliance@stockachalu.com

8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity's Management System includes a Material Accounting System that safeguards the integrity of CoC Material and Eligible Scrap mass balance within the Certification Scope. The Material Accounting System is based on the Entity's IT system.
8.2 Material Accounting Period	Conformance	The Entity's Material Accounting Period is 12 months starting from the first day of the calendar year. This has been specified in writing in an internal procedure.
8.3 Input and Inflow Quantities	Conformance	The Entity's Management System includes a Material Accounting System that, for a calendar year, records the quantities of each CoC Material and Eligible Scrap Input and the quantities of Non-CoC Material and Recyclable Scrap Material Inflow to the Certification Scope. The Inflow quantity of Eligible Scrap and Recyclable Scrap Material is based on the Aluminium content of the handled material. The Material Accounting System is based on the Entity's IT system.
8.4 Output Quantities of CoC Material	Conformance	The Entity's Management System includes a Material Accounting System that uses 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. The Material Accounting System is based on the Entity's IT system.
8.5 Indivisibility of CoC Material	Conformance	By system design it is ensured that the Output Quantity of CoC Material, which may form part of the total production, will be designated as 100% CoC Material.

CRITERION	RATING	COMMENT
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity, as all Aluminium Scrap and Dross are being recycled internally and do not leave the system boundary.
8.7 Consistency Between Input Percentage and Total Output	Conformance	By system design it is ensured that the total Output of CoC Material and Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material and Eligible Scrap over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's Material Accounting System is designed to ensure that a maximum 20% overdraw of total Input Quantity of CoC material will happen within the Material Accounting Period in case of Force Majeure.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's Material Accounting System is designed to ensure that the Internal Overdraw will not exceed the amount of CoC Material affected by Force Majeure.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's Material Accounting System is designed to ensure that the Internal Overdraw will be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Material Accounting System, which is designed to ensure that a Positive Balance is identified and carried over. There was no carry-over in the recent balance for 2022.
8.9b Positive Balance (Expiry)	Conformance	The Entity's Material Accounting System is designed to ensure that any Positive Balance of Output CoC Material at the end of the Material Accounting Period will be carried over to the subsequent period and that such carry over 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 an ASI Chain of Custody (CoC) procedure to ensure that a CoC Document with CoC information accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the

CRITERION	RATING	COMMENT
		accompanying CoC Document (delivery note), including the identity, address and CoC Certification number.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the name of the responsible employee.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including a 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 ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the mass of total Material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is not applicable, as the Entity does not intend to disclose supplementary information on CoC Documents.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable, as the Entity does not intend to disclose supplementary information on CoC Documents.
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-	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Casthouse ASI Certification status		
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable, as the Entity does not intend to disclose supplementary Information on CoC Document's.
9.5 Verification of Information	Conformance	The commercial team is responsible for handling the CoC requests from customers. Relevant personnel are aware of their duties under ASI Chain of Custody Standard. The system appears to be robust to document verification requests, errors, corrective actions and any potential preventive measures.
9.6 Error (Shipping)	Conformance	The Entity has implemented and integrated an error management process within its Quality Management System. Non-conformities, root causes and corrective actions are identified and monitored by the Entity's commercial team and management.

10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has implemented a procedure with mandatory verification steps to review the completeness of received CoC Documents as required by the ASI Chain of Custody Standard. At the time of the Audit, the Entity had not yet processed ASI CoC Material. As a result, the effectiveness of implementation could not be verified.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has implemented a procedure with verification steps to review the consistency of received CoC Documents as required by the ASI Chain of Custody Standard. At the time of the Audit, the Entity had not yet processed ASI CoC Material. As a result, the effectiveness of implementation could not be verified.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity's procedure 'Supplier Evaluation' specifies annual verification of the validity and scope of the supplier's ASI CoC Certification. Due to the recent implementation of the ASI Chain of Custody Standard, suppliers have been evaluated and assessed once.
10.4 Error (Reception)	Conformance	A system to deal with actual and potential errors is in place and specified in an internal procedure. At the time of the Audit, the Entity had not yet processed ASI CoC Material. As a result, the effectiveness of implementation could not be verified.

11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Not Applicable	This Criterion is currently not applicable, as the Entity will not make any claims and/or representations about CoC Material outside of CoC Documents.
11.1b Claims and Communications (Verifiable evidence)	Not Applicable	This Criterion is currently not applicable, as the Entity will not make any claims and/or representations about CoC Material outside of CoC Documents.

CRITERION	RATING	COMMENT
11.1c Claims and Communications (Employee training)	Not Applicable	This Criterion is currently not applicable, as the Entity will not make any claims and/or representations about CoC Material outside of CoC Documents.

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 October 2020	Initial Certification Audit – Full Certification
1	1 September 2022	Surveillance Audit
2	9 February 2024	Re-Certification and Scope Change Audit from Chain of Custody Standard V1 to V2