

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Crown Mexico – Crown Holdings Inc.

CERTIFICATE NUMBER

352

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE SERVICES  
UK LTD.

DATE OF ISSUE

15 FEBRUARY 2024

DATE OF EXPIRY

14 FEBRUARY 2027

CERTIFIED SINCE

15 FEBRUARY 2024

## AUTHORISED BY

A handwritten signature in black ink, appearing to be 'John' followed by a long horizontal line.

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

Manufacturing of Aluminium Can Bodies at production facilities Crown Ensenada (Ensenada B.C), Crown Guadalajara (Guadalajara, Jal.), Crown Toluca (Toluca, Edo. De Mex.) and Crown Latas Monterrey (Juarez, N.L.); of Aluminium Can Ends and ROPP closures at production facility Crown Cierres Monterrey (Monterrey, N.L.); and Headquarters in Monterrey, Mexico.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Crown Holdings, Inc.
ENTITY NAME	Crown Mexico - Crown Holdings Inc
CERTIFICATION SCOPE	Manufacturing of Aluminium Can Bodies at production facilities Crown Ensenada (Ensenada B.C), Crown Guadalajara (Guadalajara, Jal.), Crown Toluca (Toluca, Edo. De Mex.) and Crown Latas Monterrey (Juarez, N.L.); of Aluminium Can Ends and ROPP closures at production facility Crown Cierres Monterrey (Monterrey, N.L.); and Headquarters in Monterrey, Mexico.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Post-Casthouse</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</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>• 4 – 8 December 2023</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 23 December 2023</li></ul>
AUDIT SCOPE	<p>The audit scope included the production facilities Latas Monterrey (Cans), Cierres Monterrey (Ends), Toluca and the Monterrey Headquarters.</p> <p>The ASI multi-site sampling approach was used to include the production facilities Ensenada and Guadalajara.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Post-Casthouse</li></ul> <p>All relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.</p>
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> 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.</li></ul>

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The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

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CERTIFICATION PERIOD 15 February 2024 –14 February 2027

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NEXT AUDIT TYPE Re-Certification Audit

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NEXT AUDIT DUE DATE 14 February 2027

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CERTIFICATE NUMBER 352

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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

Crown Holdings, Inc., through its subsidiaries, is a leading global supplier of rigid packaging products to consumer marketing companies, as well as transit and protective packaging products, equipment, and services to a broad range of end markets. It has 200 manufacturing facilities in 40 countries, supporting customers in the growing beverage can markets. Aluminium beverage cans represent more than 60% of Crown's business.

Crown's Mexico Metal Division (the 'Entity') comprises five production Facilities and the Headquarters in Monterrey. The Entity's products are destined for domestic markets and North and South America. The Aluminium production at each Facility includes:

- Cierres Monterrey – can ends and ROPP closures, 6,700 million per annum and 400 million, respectively.
- Ensenada – beverage cans, 1,600 million per annum
- Guadalajara – beverage cans, 700 million per annum
- Latas Monterrey – beverage cans, 2,050 million per annum
- Toluca – beverage cans, 2,500 million per annum

The Entity employs approximately 1,100 employees.

## 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>	High
<b>RISKS</b>	High
<b>PERFORMANCE</b>	High
<b>OVERALL</b>	<b>HIGH</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity has been a member of ASI in the Production and Transformation Class since 2020. The Entity is committed to complying with all obligations to ASI membership and the ASI Grievance Mechanism. <a href="https://aluminium-stewardship.org/about-asi/asi-members/crown-holdings-inc">https://aluminium-stewardship.org/about-asi/asi-members/crown-holdings-inc</a>
1.2 CoC Management System	Conformance	The Entity has developed an ASI Manual and established a Management System that meets all applicable requirements of the ASI Chain of Custody Standard and applies to all Facilities under the Entity's Control that have Custody of CoC Material.
1.3 CoC Management System Monitoring	Conformance	The Entity has established an ASI Chain of Custody Management System, including a documented ASI Manual that applies to all the Entity's Facilities. To ensure that the Management System remains valid, and to consider changes in the Entity's procedures, the market, the ASI Chain of Custody Standard Guidelines and other changes, the Entity's ASI Committee undertakes a review every two years.
1.4 Management Representative	Conformance	The Entity has appointed the Corporate Quality Manager as the Management Representative who holds responsibility and authority for Compliance with all requirements of the ASI Chain of Custody Standard applicable to the Entity., The Management Representative is supported by the ASI Committee, to ensure an integrated view of the organisation, compliance with the criteria and implementation of processes.
1.5 Communications and Training	Conformance	The Entity has implemented communication and training measures on the ASI Chain of Custody Standard for all relevant employees, which included different tools to promote communication, training, and awareness, such as e-mails, online and on-site meetings, and information posted on boards and TVs, among others.
1.6 Records Management	Conformance	The Entity has defined in the ASI Manual, that all documents related to the ASI Chain of Custody Standard must be stored for at least five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has defined in the ASI Manual, the method to provide the Input and Output Quantity of CoC and Non-CoC Materials, Products and Eligible Scrap during the calendar year, and reporting the information to the ASI Secretariat no later than two months after each calendar year. As this is the Certification Audit, the Entity is yet to report to the ASI Secretariat.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has defined in the ASI Manual, the method to provide the Input and Output Quantity of CoC and Non-CoC Materials, Products and Eligible Scrap during the calendar year, reporting the information to the ASI Secretariat no later than two months after each calendar year.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has defined in the ASI Manual, the method to provide the Input and Output Quantity of CoC and Non-CoC Materials, Products and Eligible Scrap during the calendar year, reporting the information to the ASI Secretariat no later than two months after each calendar year.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has defined in the ASI Manual, the method for providing the Positive Balance carried forward to the subsequent Material Accounting Period, if any, during the calendar year, reporting the information to the ASI Secretariat no later than two months after each calendar year.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has defined in the ASI Manual, the method for providing the Positive Balance, if any, during the calendar year, reporting the information to the ASI Secretariat no later than two months after each calendar year.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has defined in the ASI Manual, the method for providing the Internal Overdraw drawn down from the subsequent Material Accounting Period, if any, during the calendar year, reporting the information to the ASI Secretariat no later than two months after each calendar year.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	This Criterion is not applicable to the Entity, as it has only one type of CoC Material Output.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.
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 as it does not use Outsourcing Contractors for CoC Material.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity as it does not use Outsourcing Contractors for CoC Material.

CRITERION	RATING	COMMENT
<b>3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM</b>		
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.
<b>4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP</b>		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Financial transactions)		
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
5.2 Unique Identification	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's plants that manufacture Aluminium Products (beverage cans and ends, and Roll-on pilfer-proof (ROPP) closures) are included in the Entity's CoC Certification Scope; these plants will be able to receive and produce ASI Aluminium.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity's plants that manufacture Aluminium Products (beverage cans and ends, and ROPP closures) are included in the Entity's CoC Certification Scope; these plants will be able to receive and produce ASI Aluminium. These plants are included in the Entity's ASI Performance Standard Certification (Certificate 173).
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity's plants that manufacture Aluminium Products (beverage cans and ends, and ROPP closures) are included in the Entity's CoC Certification Scope; these plants will be able to receive ASI Aluminium sourced from another ASI CoC Certified Entity or Trader.
<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 and communicated a Responsible Purchasing Policy and a Code of Conduct for Suppliers, which addresses environmental, social, governance and Anti-Corruption issues: <a href="https://www.crowncork.com/investors/policies/responsible-and-ethical-sourcing-policy">https://www.crowncork.com/investors/policies/responsible-and-ethical-sourcing-policy</a> <a href="https://www.crowncork.com/investors/policies/supplier-code-conduct">https://www.crowncork.com/investors/policies/supplier-code-conduct</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented and communicated a Responsible Purchasing Policy and a Code of Conduct for Suppliers, which addresses environmental, social, governance and Anti-Corruption issues: <a href="https://www.crowncork.com/investors/policies/responsible-and-ethical-sourcing-policy">https://www.crowncork.com/investors/policies/responsible-and-ethical-sourcing-policy</a> <a href="https://www.crowncork.com/investors/policies/supplier-code-conduct">https://www.crowncork.com/investors/policies/supplier-code-conduct</a>



CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented and communicated a Responsible Purchasing Policy and a Code of Conduct for Suppliers, which addresses environmental, social, and governance issues and Human Rights Due Diligence: <a href="https://www.crowncork.com/investors/policies/responsible-and-ethical-sourcing-policy">https://www.crowncork.com/investors/policies/responsible-and-ethical-sourcing-policy</a> <a href="https://www.crowncork.com/investors/policies/supplier-code-conduct">https://www.crowncork.com/investors/policies/supplier-code-conduct</a>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a Conflicts Minerals Policy, which aims to avoid the use of conflict minerals in the manufacture of its Products: <a href="https://www.crowncork.com/conflict-minerals-policy">https://www.crowncork.com/conflict-minerals-policy</a>  The Entity is committed to complying with its reporting obligations under Applicable Law. Accordingly, the Entity has implemented Due Diligence measures for tracing and sourcing conflict minerals in its Products designed in compliance with the Due Diligence steps in the Organization for Economic Co-operation and Development (OECD) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas.
7.2 Risk Assessment and Mitigation	Conformance	The Entity has demonstrated that suppliers are certified to the ASI Performance Standard. In case of a Force Majeure situation in which the Entity needs to source from an Aluminium supplier that is not an approved supplier, the Entity reviews whether the supplier is an ASI Certified Entity and if not, the supplier will be requested to undergo a self-assessment questionnaire and confirm their measures regarding anti-Corruption, responsible sourcing, Human Rights and conflict minerals, documenting the conclusions and mitigations of measurable risks where risks of adverse impacts are identified.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has defined a Grievance Mechanism appropriate in nature, scale, and impact, allowing Stakeholders to express concerns about non-compliance with its Responsible Sourcing Policy in its Aluminium supply chain: <a href="https://www.crowncork.com/investors/corporate-governance/toll-free-reporting-line">https://www.crowncork.com/investors/corporate-governance/toll-free-reporting-line</a>
<b>8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity has developed a Mass Balance System through a documented spreadsheet for CoC Materials that is detailed in the ASI Manual. This system controls CoC Material Inputs and Outputs, determining the Input and Output volumes in the system.
8.2 Material Accounting Period	Conformance	The Entity has defined in the ASI Manual that the Material Accounting System must specify a Material Accounting Period of 12 months.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a documented spreadsheet programmed to record and follow up on Input and Output Quantities of both CoC and Non-CoC Materials, as well as Eligible Scrap over the Material Accounting Period defined in the ASI CoC Management System.
8.4 Output Quantities of CoC Material	Conformance	The Entity has established a documented spreadsheet programmed to record and follow up on Input and Output Quantities of both CoC and Non-CoC Materials, as well as Eligible Scrap over the Material Accounting Period defined in the ASI CoC Management System.

CRITERION	RATING	COMMENT
		The Mass Balance System is programmed to calculate the available Quantities of Output CoC Material by recording the Input and Output Quantities of CoC Material during the Material Accounting Period.
8.5 Indivisibility of CoC Material	Conformance	The ASI Manual clarifies that the Entity's CoC Material can be sold to customers who can also demonstrate ASI Chain of Custody Certification. As such, these Output Quantities are designated as 100% ASI CoC Material, and the remainder of the Output is Non-CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	<p>The Entity has established a documented spreadsheet programmed to record and follow up on Input and Output Quantities of both CoC and Non-CoC Materials, as well as Eligible Scrap over the Material Accounting Period defined in the ASI CoC Management System.</p> <p>The Mass Balance System is programmed to calculate the available Quantities of Output CoC Material by recording the Input and Output Quantities of CoC Material during the Material Accounting Period and corresponding percentages of total mass.</p>
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has determined a method to calculate and record the total Input Percentage of CoC Material for the 12 month accounting period, ensuring that the total production of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has determined a method to calculate and record the total Input Percentage of CoC Material for the 12 month accounting period, ensuring that the total production of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period. In the case of Force Majeure, the Entity has determined that the Internal Overdraw must not exceed 20% of the total amount of CoC Material Input for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has determined a method to calculate and record the total Input Percentage of CoC Material for the 12 month Accounting period, ensuring that the total production of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period. In the case of Force Majeure, the Entity has determined that the Internal Overdraw must 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 determined a method to calculate and record the total Input Percentage of CoC Material for the 12 month Accounting period, ensuring that the total production of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap during the Material Accounting Period. In the case of Force Majeure, the Entity has determined that the Internal Overdraw shall be made up during the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a Mass Balance System programmed to record and properly identify Positive Balances that are carried over

CRITERION	RATING	COMMENT
		from previous accounting periods and/or that will be carried over to the next accounting period.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a Mass Balance System programmed to record and properly identify Positive Balances that are carried over from previous accounting periods and/or that will be carried over to the next accounting period. The system is also programmed to ensure the Positive Balance is only carried over to the next accounting period.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity has defined that a CoC Document shall be sent with all shipments of CoC Material (as cans, ends and closures) and accompanied by invoices/delivery notes. The information contained in the CoC Document is defined in the Entity's ASI Manual.
9.2a CoC Document Content (Date of issue)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the reference number for the CoC Document, which is linked to the Entity's Material Accounting System for verification purposes.
9.2c CoC Document Content (Issuing Entity)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the identity, address and CoC Certification number of the Entity issuing the CoC Document.
9.2d CoC Document Content (Receiving customer)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the identity and address of the customer receiving the CoC Material, and, if it is another CoC Certified Entity, their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The information contained in the CoC Document is defined in the Entity's ASI Manual, which includes the responsible employee of the Entity who can verify information in the CoC Document.
9.2f CoC Document Content (Conformance statement)	Conformance	The information in the CoC Document is defined in the Entity's ASI Manual, which includes 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 information in the CoC Document is defined in the Entity's ASI Manual, including the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The information in the CoC Document is defined in the Entity's ASI Manual, including the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The information in the CoC Document is defined in the Entity's ASI Manual, including the total mass of material in the shipment.

CRITERION	RATING	COMMENT
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Sustainability Data in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable to the Entity, as it does not intend to provide Supplementary Information in the CoC Document. These data will only be made available when requested and agreed upon with the receiving Entity.
9.5 Verification of Information	Conformance	CoC Documents issued by the Entity can be accessed through the Entity's SAP database system and will be kept as a record for five years.
9.6 Error (Shipping)	Conformance	The Entity has defined a method for correcting errors identified upon receipt of CoC Material. The Entity has procedures in place to implement corrective actions.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity has defined the information that warehouse employees must verify has been included in the CoC Documents received.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has defined a process for warehouse employees to confirm that the quantity of CoC Material stated on received CoC Documents matches what is being physically unloaded before recording the information in the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has defined a process to verify the validity of its suppliers' and customers' ASI CoC Certification. This process will be conducted biannually, and currently Certified Entities will be recorded in the 'ASI Certificate Revision' form.
10.4 Error (Reception)	Conformance	The Entity has defined a method for correcting errors identified upon receipt of CoC Material. The Entity's sites have procedures in place to implement corrective actions.
<b>11. CLAIMS AND COMMUNICATIONS</b>		

CRITERION	RATING	COMMENT
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has defined a method for making claims or using the ASI logo that is consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has defined a method for making claims or using the ASI logo that is consistent with the ASI Claims Guide, and that verifiable evidence exists to support the claims.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has defined a method for making claims or using the ASI logo that is consistent with the ASI Claims Guide, and that appropriate training is provided for relevant employees to understand and communicate the claims correctly.

#### 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	15 February 2024	Initial Certification Audit – Full Certification