

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Fujian Nanping Aluminum Co., LTD.

CERTIFICATE NUMBER

341

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED AUDITING
FIRM

DNV BUSINESS
ASSURANCE
SERVICES UK LTD.

DATE OF ISSUE

31 JANUARY 2024

DATE OF EXPIRY

30 JANUARY 2027

CERTIFIED SINCE

31 JANUARY 2024

AUTHORISED BY

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

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

1. Foundry Branch of Fujian Nanping Aluminium Co., LTD., located at No. 65 Gongye Road, Yanping District, Nanping City, Fujian Province, China for the production of Aluminium alloy round ingots.
2. Extrusion Division of Fujian Nanping Aluminium Co., LTD., located at No. 65 Gongye Road, Yanping District, Nanping City, Fujian Province, China for the production of Aluminium alloy profiles for construction.
3. Production Department of Fujian Nanping Aluminium Co., LTD., located at No.65 Gongye Road, Yanping District, Nanping City, Fujian Province, China for the production of industrial Aluminium alloy profiles.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Fujian Nanping Aluminum Co., LTD.
ENTITY NAME	Fujian Nanping Aluminum Co., LTD.
CERTIFICATION SCOPE	<ol style="list-style-type: none">1. Foundry Branch of Fujian Nanping Aluminum Co., LTD., located at No. 65 Gongye Road, Yanping District, Nanping City, Fujian Province, China for the production of Aluminium alloy round ingots.2. Extrusion Division of Fujian Nanping Aluminum Co., LTD., located at No. 65 Gongye Road, Yanping District, Nanping City, Fujian Province, China for the production of Aluminium alloy profiles for construction.3. Production Department of Fujian Nanping Aluminium Co., LTD., located at No.65 Gongye Road, Yanping District, Nanping City, Fujian Province, China for the production of industrial Aluminium alloy profiles.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Aluminium Re-melting/Refining• Casthouses• Post-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 16 – 18 November 2023
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 23 November 2023
AUDIT SCOPE	<p>The audit scope covers the activities at Fujian Nanping Aluminium Co., LTD. for the production of alloy round ingot, aluminium alloy profiles for construction and industrial aluminium alloy profiles at the Foundry Branch and both Extrusion Divisions.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">• Aluminium Re-melting/Refining• Casthouses• Post-Casthouse <p>All 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:

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- ☑ 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 31 January 2024 – 30 January 2027

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 30 July 2026

CERTIFICATE NUMBER 341



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

Fujian Nanping Aluminium Co., Ltd., formerly known as Fujian Nanping Aluminium Factory, was established in 1958 and is a large state-owned company located near Jianxi and Min Juan rivers in Nanping in the northwest of Fujian Province, China. It is now one of the top ten national aluminium production companies in China. The company has a registered capital of 1,028.7 million yuan and with 5,200 employees, including its subsidiary companies. It achieves an annual sales revenue of more than 6 billion yuan.

The company's aluminium industry chain includes the production of various aluminium products, from pre-baked anode aluminium to electrolytic aluminium casting, casting-rolling, aluminium processing, moulds, aluminium strips, and aluminium deep processing. The capacity of aluminium casting and processing exceeds 200,000 tons annually, with plans to increase this capacity to over 300,000 tons with the construction of Nanping Aluminium (Chengdu) Co.

The Entity holds recognitions such as being an "Enterprise Technology Center" acknowledged by the government and a key high-tech enterprise under the "National Torch Plan." The Entity is also recognised for its innovations and has received several honours for its contributions to the aluminium industry.

The Entity incorporates advanced technical equipment and is a leader in various aspects of the aluminium industry, including chain scale, brand building, innovation, standard setting, energy efficiency, emission reduction, and information management. Nanping Aluminium Industry holds an impressive portfolio of over 350 approved patents for inventions, appearances, and utility models from the State Intellectual Property Office, and has developed four national key new products and received 13 awards at the provincial or ministerial level for science, technology, and innovation. It plays a significant role in directing industry standards and is a key contributor to the development of national and provincial standards for aluminium alloy building profiles.

Nanping Aluminium has earned recognition and awards for its contributions, including being named a National May Day Labor Diploma unit, a National Advanced Unit in Spiritual Civilization Construction, and a National Advanced Unit for Equipment Management. It has also been commended for its ethical behaviour, energy-saving efforts, and commitment to environmental sustainability. At the regional level, it has received recognition for its enterprise culture, creditworthiness, and harmonious workplace practices.

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	Medium
PERFORMANCE	Medium
OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is an active ASI Member committed to comply with ASI' s membership obligations and the ASI Complaints Mechanism. The Entity is in the production and transformation category. Membership details are accessible at: https://aluminium-stewardship.org/about-asi/members/Fujian-Nanping-Aluminum-Co---LTD
1.2 CoC Management System	Conformance	The Entity has established Policies, systems, Procedures and processes that can comply with the ASI Chain of Custody Standard criteria regarding a Management System. The Management System has the capacity to handle ASI CoC Material. The Entity has an integrated Management System with an IATF 16949 certificate that is valid for the certification period.
1.3 CoC Management System Monitoring	Conformance	The Entity has established mechanisms for the periodic review of the Management System, in line with their ASI CoC Management Manual. Reviews assess the effectiveness of the ASI CoC Management System and address potential areas of Non-Conformance/improvement. The most recent review was conducted in November 2023.
1.4 Management Representative	Conformance	The Entity has appointed a member of management as the responsible person for implementation of the ASI CoC Standard and has defined the roles and responsibilities.
1.5 Communications and Training	Minor Non-Conformance	The Entity has delivered training to relevant personnel to raise awareness of ASI CoC Standard requirements. The Entity has further plans to implement training measures that make relevant personnel aware of and competent in their responsibilities once CoC Material is available to the Entity. However, the communication and training is not adequate, as confirmed by the lack of awareness of the requirements by Workers during Worker interviews.
1.6 Records Management	Conformance	The Entity has maintained up-to-date records (COMMS management system) that cover all applicable requirements of the ASI CoC Standard. The Entity's records management procedure defines the retention time.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity's ASI CoC Management Manual has specified that the Entity will report required information of CoC Material to the ASI Secretariat within six months of the end of each calendar year.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity's ASI CoC Management Manual has specified that the Entity will report required information of CoC Material to the ASI Secretariat within six months of the end of each calendar year.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity's ASI CoC Management Manual has specified that the Entity will report required information of CoC Material to the ASI Secretariat within six months of the end of each calendar year.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity's ASI CoC Management Manual has specified that the Entity will report required information of CoC Material to the ASI Secretariat within six months of the end of each calendar year.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity's ASI CoC Management Manual has specified that the Entity will report required information of CoC Material to the ASI Secretariat within six months of the end of each calendar year.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity's ASI CoC Management Manual has specified that the Entity will report required information of CoC Material to the ASI Secretariat within six months of the end of each calendar year.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity's ASI CoC Management Manual has specified that the Entity will report required information of CoC Material to the ASI Secretariat within six months of the end of each calendar year.

2. OUTSOURCING CONTRACTORS

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

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.

CRITERION	RATING	COMMENT
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 established processes and systems to ensure that ASI Liquid Metal is produced only from the ASI CoC Certified Facilities that are within the Entity's own CoC Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity has established a system that ensures production of ASI Liquid Metal only from the Aluminium Facilities that are certified against the ASI Performance Standard. The Entity received ASI Performance Standard certification in October 2023.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity Material Accounting System is designed to control and account for Eligible Scrap coming into the value chain. Pre-Consumer Scrap designated as CoC Material is supplied directly from their own Facilities included in the Entity's CoC Certification Scope. This was evidenced in CoC Material Management Procedures and CoC Material Accounting System.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity, as it does not use Post-Consumer Scrap.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity, as at present, it does not purchase Recycled Aluminium from Aluminium ash and other Aluminium-containing wastes.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity, as at present, it does not purchase Recyclable Scrap Material from suppliers.
4.3b Records Management for Direct Suppliers of	Not Applicable	This Criterion is not applicable to the Entity, as no cash payments are accepted.

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Financial transactions)		
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established a system that ensures ASI Aluminium is produced only from the Casthouse within the Entity's CoC Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity has established a system that ensures production of ASI Aluminium is only from the Entity's Casthouse, which is certified against the ASI Performance Standard (Certificate 319).
5.1c ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity, as ASI Aluminium has not been sourced from another ASI CoC Certified Entity or via a Trader. If the Entity purchases ASI Aluminium, it will be produced only by an ASI Certified Entity.
5.2 Unique Identification	Conformance	The Entity has established systems to ensure that unique identification numbers, either physically stamped, or printed on the ASI Aluminium Products' packaging, can be linked to their Material Accounting System.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established a system that ensures production of ASI Aluminium is only from the Facilities within the Entity's CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has established a system that ensures production of ASI Aluminium is only from the Entity's Post-Casthouse Facility, which is certified against the ASI Performance Standard (Certificate 319).
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable to the Entity, as ASI Aluminium is not currently sourced from another CoC Certified Entity or via a Trader, only from the plants within the Entity's Certification Scopes. This is confirmed by the information in the Entity's Material Accounting System.
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 Supplier Code of Conduct that addresses the ASI Performance Standard requirements for anti-Corruption, available on the Entity's website at: http://www.mlfjnp.com/ueditor/php/upload/file/responsibility/6482eb8610c11.pdf
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented a Supplier Code of Conduct that addresses the ASI Performance Standard requirements for responsible sourcing, available on the Entity's website at: http://www.mlfjnp.com/ueditor/php/upload/file/responsibility/6497ac9743c99.pdf

CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented a Supplier Code of Conduct that addresses the ASI Performance Standard requirements for Human Rights Due Diligence, available on the Entity's website at: http://www.mlfjnp.com/ueditor/php/upload/file/responsibility/6497ac9743c99.pdf
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a Supplier Code of Conduct that addresses the ASI Performance Standard requirements for Conflict-Affected and High-Risk Areas, available on the Entity's website at: http://www.mlfjnp.com/ueditor/php/upload/file/responsibility/6497ac9743c99.pdf
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established a Supplier Code of Conduct, which includes a risk assessment and qualification process. The Entity has assessed the risks of non-compliance with its responsible sourcing Policy by its Non-CoC Material suppliers. A copy of the Suppliers Code of Conduct is available at: http://www.mlfjnp.com/ueditor/php/upload/file/responsibility/6482eb8610c11.pdf
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a mechanism to address complaints and concerns raised about non-compliance with its responsible sourcing Policy and other ASI-related issues. Further information is available via: http://www.mlfjnp.com/affairs

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 and Output Quantity of CoC Material/ Eligible Scrap and Non-CoC Material/Scrap by mass. At the time of audit, there was no CoC Material available in the Entity's supply chain. The simulation of the Material Accounting System confirmed it conforms to the ASI CoC Standard requirements.
8.2 Material Accounting Period	Conformance	The Entity has established a CoC Management Manual, which defines the Material Accounting Period as a calendar year from 1 January to 31 December.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a Material Accounting System that can 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 audit, there was no CoC Material available in the Entity's supply chain.
8.4 Output Quantities of CoC Material	Conformance	In the Entity's Material Accounting System, the available Quantities of CoC Material for Output will be determined by 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 established a CoC Management Manual, which defines that the Output Quantity of CoC Material, which may be a subset of total production, is designated as 100% CoC Material.

CRITERION	RATING	COMMENT
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has established a CoC Management Manual, which defines that the Entity can designate the relevant proportion of Scrap generated in the production processes as Eligible Scrap by 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 established a CoC Management Manual, which defines 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. The stimulation of the Material Accounting System demonstrated that the Entity understands the requirement.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a CoC Management Manual, which defines that an Internal Overdraw shall not exceed 20% of 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 CoC Management Manual, which defines that an Internal Overdraw shall 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 CoC Management Manual, which defines that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a CoC Management Manual, which defines that any carry-over of a Positive Balance shall be clearly identified in the Entity's Material Accounting System.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a CoC Management Manual, which defines that the Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity intends to use the CoC Document template as defined in the ASI CoC Standard Guidance to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity intends to use the CoC Document template as defined in the ASI CoC Standard Guidance, which includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity intends to use the CoC Document template as defined in the ASI CoC Standard Guidance, which includes a reference number linked to the Material Accounting System.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity intends to use the CoC Document template as defined in the ASI CoC Standard Guidance, which shall include details of the Entity issuing the CoC Document.

CRITERION	RATING	COMMENT
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity intends to use the CoC Document template as defined in the ASI CoC Standard Guidance, which shall include details of the receiving customer, including their CoC Certification number, if certified.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has established a CoC Management Manual, which defines the sales representative as the responsible employee for verifying the information in the CoC Document and signing them.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has established a CoC Management Manual, which defines that if the customer requires to issue the CoC Document in its own format, the Entity shall follow the requirement. If not, the Entity shall issue a CoC Document for each lot of material/Product using its own CoC Document template, and both forms shall include 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 will issue a CoC Document for each lot of material/Product using the template defined in ASI CoC Standard Guidance, to include the type of CoC Material.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity will issue a CoC Document for each lot of material/Product using the template defined in ASI CoC Standard Guidance, to include the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity will issue a CoC Document for each lot of material/Product using the template defined in ASI CoC Standard Guidance, to include the mass of total material.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has established a CoC Management Manual that defines the Entity will not provide Sustainability Data by default. Upon customer request, the Quality & Technology Manager of each division will share the Life Cycle Assessment Report with the customer.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity has established a CoC Management Manual that defines the Entity will not provide Sustainability Data by default. Upon customer request, the Quality & Technology Manager of each division will share information on the origin of Aluminium with the customer.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity has established a ASI CoC Management Manual that defines that the Entity will not provide Sustainability Data by default. Upon customer request, the Quality & Technology Manager of each division will share information on the recycled content of the CoC Material with the customer.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity has established a ASI CoC Management Manual that defines that the Entity will not provide Sustainability Data by default. Upon customer request, the Quality & Technology Manager of each division will share information on the Entity's ASI Certification Status with the customer.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has established a ASI CoC Management Manual that defines that the Entity will not provide Supplementary Information by default. Upon customer request, the Quality & Technology Manager of

CRITERION	RATING	COMMENT
		each division will share the information with the customer and ensure it can be supported by objective evidence.
9.5 Verification of Information	Minor Non-Conformance	<p>The Entity has defined the responsibility and the process to respond to requests for verification of information in CoC Documents issued by the Entity.</p> <p>However, the Entity has not provided contact information, such as email addresses or hotline numbers, in the CoC Document for Stakeholders to submit verification requests.</p>
9.6 Error (Shipping)	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record errors, analyse the root cause, and implement corrective actions to prevent a recurrence.

10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	It is defined within the Entity's CoC Management Manual, that the Entity will verify that the required information in received CoC Documents has been included. At the time of audit, there were no examples of effective implementation of the system as no CoC Material had been received.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	It is defined within the Entity's CoC Management Manual, that the Entity will verify that the received CoC Material or Eligible Scrap is consistent with the received CoC Document before recording the information. The Purchasing Agent is responsible to verify the completeness of information in received CoC Documents.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	<p>The responsibility and the process to verify a supplier's ASI CoC Certification is defined in the Entity's CoC Management Manual, including to verify its validity via the ASI Member website:</p> <p>https://aluminium-stewardship.org/about-asi/asi-member-listing</p>
10.4 Error (Reception)	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has a process to record errors, provide feedback to the supplier, and implement corrective actions to prevent a recurrence.

11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has established an ASI CoC Management Manual, which has defined that claims and communications on CoC Material shall be consistent with the ASI Claims Guide, including communication with the ASI Secretariat. The Management Representative is responsible for this issue.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has assigned roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide and that the claims and/or representations are supported by verifiable evidence.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided training on claims and communications about CoC Material to the relevant employees.

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	31 January 2024	Initial Certification Audit – Full Certification
