

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Jiangsu Huafeng Aluminum Industry Co., Ltd.

CERTIFICATE NUMBER

350

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED AUDITING
FIRM

DNV BUSINESS
ASSURANCE
SERVICES UK LTD.

DATE OF ISSUE

30 JANUARY 2024

DATE OF EXPIRY

29 JANUARY 2027

CERTIFIED SINCE

30 JANUARY 2024

AUTHORISED BY

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

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
info@aluminium-stewardship.org

*Validity of this Certificate is subject to
continued conformance with the
applicable ASI Standard and can be
verified at
www.aluminium-stewardship.org*

CERTIFICATION SCOPE

Jiangsu Huafeng Aluminum
Industry Co., Ltd located in Zhoubo
Road, Economic Development
Zone, Pei Xian, Jiang Su, China, for
the manufacture of aluminium
plate strips and aluminium foil
blanks.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Jiangsu Zhongji Lamination Materials Co., Ltd
ENTITY NAME	Jiangsu Huafeng Aluminum Industry Co., Ltd.
CERTIFICATION SCOPE	Jiangsu Huafeng Aluminum Industry Co., Ltd located in Zhoubo Road, Economic Development Zone, Pei Xian, Jiang Su, China, for the manufacture of aluminium plate strips and aluminium foil blanks.
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
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">22-23 November 2023
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">15 December 2023
AUDIT SCOPE	<p>The audit scope covers facility of Jiangsu Huafeng Aluminum Industry Co., Ltd. for the manufacture of aluminium plate strips and aluminium foil blanks.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">CasthousesPost-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	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><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.<input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.<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.<input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
CERTIFICATION PERIOD	30 January 2024 – 29 January 2027

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 30 January 2026

CERTIFICATE NUMBER 350



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

Jiangsu Huafeng Aluminum Industry Co., Ltd. was founded in January 2008 and is located in Peixian Economic Development Zone, Xuzhou, Jiangsu. It covers an area of 266 acres and has a registered capital of 360 million yuan. It has built an annual production capacity of 50000 tons of aluminium sheets and strips. Its primary clients are famous aluminium foil production enterprises both domestically and internationally. The Entity provides customers with high-quality cast-rolled and hot-rolled aluminium foil blanks of various alloys, thicknesses, and widths.

Jiangsu Huafeng Aluminum Industry Co., Ltd. is a subsidiary of Jiangsu Zhongji Composite Materials Co., Ltd., which is a leading domestic enterprise producing high-precision aluminium foil. Jiangsu Zhongji is a wholly owned holding enterprise of Wanshun New Materials, a national high-tech enterprise established in 1998, headquartered in Shantou Free Trade Zone, Guangdong Province. It integrates three major businesses: environmentally friendly packaging materials, high-precision aluminium foil, and functional films. In February 2010, the company was listed on the Shenzhen Stock Exchange Growth Enterprise Board.

Jiangsu Huafeng Aluminum Industry Co., Ltd. has world-class and domestically leading modern production equipment, including a 2000mm wide six-roll cold rolling mill, four inclined casting and rolling mills equipped with automatic thickness and plate shape control systems, as well as precision equipment such as annealing furnaces and recoilers, oil mist recovery, dust removal and environmental protection equipment. They adhere to high standards and strict management and have successfully passed ISO9001, ISO14001, ISO45001, and IATF16949 system certifications, improving the standardised and refined management level of the enterprise.

Jiangsu Huafeng Aluminum Industry Co., Ltd. adopts an advanced Mitsui online degassing plate filtration device from Japan. Through quality assurance measures such as "double refining, double stirring, double degassing, double filtering, and double refining", the grain size, degassing, and trace elements of cast and rolled aluminium coils are well controlled, and the internal quality is stable. The control system of the cold rolling mill adopts an imported AGC thickness and AFC plate shape automatic feedback control system, equipped with a German BFI pressure magnetic plate roller and x-ray thickness gauge. The cold-rolled finished coil has a flat plate shape, uniform thickness, stable mechanical performance, and good surface quality, which can fully meet the production quality requirements of downstream users for 0.005mm grade aluminium foil.

Jiangsu Huafeng Aluminum Industry Co., Ltd. adheres to the business philosophy of 'people-oriented, technology first, based on environmental protection, and serving society' and is committed to building partnerships worldwide. Huafeng welcomes domestic and foreign users, peers, and suppliers to exchange ideas and collaborate.

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	<p>The Entity is a child company of Jiangsu Zhongji Lamination Materials Co., Ltd, an ASI Member in the Production and Transformation class. Based on the ASI Performance Standard Management Manual, the Entity commits to complying with ASI's membership obligations and the ASI Complaints Mechanism.</p> <p>ASI Members page: https://aluminium-stewardship.org/about-asi/members/Jiangsu-Zhongji-Lamination-Materials-Co---Ltd</p>
1.2 CoC Management System	Conformance	The Entity has established a documented ASI Chain of Custody management system. To demonstrate the effectiveness of this system, the Entity presented simulation cases. At the time of the Audit, no CoC Materials are received, and no ASI aluminium is delivered.
1.3 CoC Management System Monitoring	Conformance	The Entity has established the process to periodically review the ASI CoC Management System to ensure its continual adequacy, adaptability and effectiveness through internal audits and management review meetings. The non-conformance management process is established and implemented.
1.4 Management Representative	Conformance	The Entity has appointed a senior manager as the management representative who is the responsible person for ASI Chain of Custody Standard implementation with defined roles and responsibilities to ensure the conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has identified the relevant employees for the ASI CoC Management System and provides training on the ASI Chain of Custody Standard to ensure they are aware of and competent in their roles.
1.6 Records Management	Conformance	The Entity has established a document and record management process to maintain the records covering all applicable requirements. The retention time is defined as a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has established an ASI Chain of Custody Standard Management Manual which defines when and how to report to the ASI Secretariat regarding CoC Material and who is responsible for reporting.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has established an ASI Chain of Custody Standard Management Manual which defines when and how to report ASI Secretariat regarding eligible scraps and who is responsible for reporting.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has established an ASI Chain of Custody Standard Management Manual, which defines when and how to report ASI Secretariat regarding the Inflows and Outflows of Non-CoC Materials and who is responsible for reporting.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has established an ASI Chain of Custody Standard Management Manual, which defines when and how to report ASI Secretariat about Positive Balance carried over and who is responsible for reporting.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, when and how to report ASI about the Positive Balance used and who is responsible for the reporting.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, when and how to report ASI Secretariat regarding the drawn down of an Internal Overdraw and who is responsible for reporting.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, when and how to report ASI Secretariat about the Intra-Entity Flows and who is responsible for reporting.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	The Criterion is not applicable, as the Entity does use Outsourcing Contractors.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	The Criterion is not applicable, as the Entity does use Outsourcing Contractors.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	The Criterion is not applicable, as the Entity does use Outsourcing Contractors.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	The Criterion is not applicable, as the Entity does 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 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 use Outsourcing Contractors.
2.5 Error (Outsourcing Contractor)	Not Applicable	The Criterion is not applicable, as the Entity does 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)	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 Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity is engaged in producing Casthouse Products. A process is developed to ensure and regularly check that all Aluminium suppliers are Certified against the ASI Performance Standard and Chain of
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CRITERION	RATING	COMMENT
		Custody Standards and hold valid ASI certificates. The ASI CoC Certification Scopes cover the activities when accounting for CoC Material and the Entity's casthouse is within its CoC Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity is engaged in producing Casthouse Products. A process is developed to ensure and regularly check that all Aluminium suppliers are Certified against the ASI Performance Standard and Chain of Custody Standards and hold valid ASI certificates. A management system is established, implemented and maintained to ensure the Entity holds a valid ASI Performance Standard Certification.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that ASI Aluminium produced must come directly from another ASI CoC Certified Entity, or via a Trader who can provide the verified CoC Documents that can demonstrate the ASI Aluminium is from an ASI CoC Certified Entity.
5.2 Unique Identification	Conformance	Following the requirements of production management, a unique identification number is assigned to each ingot/blank for traceability, the number is the year-month-day-production line number-serial number which is stamped on the ingot or printed on the foil blank.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has established a process to ensure that ASI Aluminium for Post-casthouse operations only comes from the Casthouse which is within the Entity's or other company's CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity was granted ASI Performance Certification in 2023. The Entity establishes, implements and maintains the management system against the ASI Performance Standard to ensure it holds the valid ASI Performance Standard Certificate.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that ASI Aluminium must be purchased only from a Facility that is Certified against the ASI Chain of Custody Standard, or via a Trader which can provide the verified CoC Document to demonstrate the Aluminium is from a CoC Certified Facility.
7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has implemented a Responsible Sourcing Policy which addresses anti-corruption. The Policy is communicated to all suppliers and traders, who must sign it to demonstrate their commitment.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has implemented a Responsible Sourcing Policy covering Responsible Sourcing. The Policy is communicated to all suppliers and traders, who must sign it to demonstrate their commitment.

CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has implemented a Responsible Sourcing Policy covering Human Rights Due Diligence. The Policy is communicated to all suppliers and traders, who must sign it to demonstrate their commitment.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has implemented a Responsible Sourcing Policy covering Conflict-Affected and High-Risk Areas. The Policy is communicated to all suppliers and traders, who must sign it to demonstrate their commitment.
7.2 Risk Assessment and Mitigation	Minor Non-Conformance	<p>The Entity has identified their tier 1 suppliers (including Traders) of Non-CoC Material, Recyclable Scrap Material, CoC Material and Eligible Scrap and has developed a supplier social responsibility audit procedure with audit plans to assess the risks of non-compliance with its Responsible Sourcing Policy.</p> <p>After on-site second-party due diligence audits, suppliers are required to take corrective actions to close the non-compliance raised at the audits and prevent them from re-occurring.</p> <p>However, it was identified that one Trader used by the Entity was not audited against the Responsible Purchasing Policy.</p>
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a Complaints Resolution Mechanism with the complaints included in the Responsible Purchasing Policy at: http://www.jiangsuhuafeng.com/upload/202308/24/202308241828478132.pdf
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 the Input and Output Quantity of CoC Material/ Eligible Scrap and Non-CoC Material/Scrap by mass. At the time of the Audit, there was no CoC Material available within the Entity's supply chain, a simulation demonstrated they have fulfilled this requirement.
8.2 Material Accounting Period	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that the Material Accounting Period is defined as a calendar year from 1 January to 31 December.
8.3 Input and Inflow Quantities	Conformance	The Entity will record the quantities of each CoC Material and Eligible Scrap Input and the quantities of Non-CoC Material and Recyclable Scrap Material Inflow and determine the Inflow quantity of Eligible Scrap and Recyclable Scrap Material based on an assessment of Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that the available Quantities of CoC Material for Output are 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 defined in the ASI Chain of Custody Standard Management Manual that the Output Quantity of CoC Material must be designated as 100% CoC Material.

CRITERION	RATING	COMMENT
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual that they must designate the relevant proportion of scraps generated in the production processes as Eligible Scrap using the same percentage share for its Output of ASI Aluminium.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap over the Material Accounting Period. In the Material Account System, a formula is set up to give an alert when it exceeds the percentage of all kinds of CoC materials.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that the internal overdraw must not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period in the case that the Internal Overdraw is required.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that an Internal Overdraw is only permitted when CoC Material has been contracted to be delivered to the Entity, but if a Force Majeure situation has prevented timely delivery 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 defined in the ASI Chain of Custody Standard Management Manual, that the Internal Overdraw must be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that the carryover of a Positive Balance must be identified in the Entity's Material Accounting System.
8.9b Positive Balance (Expiry)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that the Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period must expire at the end of that Period if not drawn down.
9. ISSUING COC DOCUMENTS		
9.1 CoC Document	Conformance	The Entity will use the ASI Chain of Custody Standard's CoC Document template for every shipment or transfer of CoC Material to other CoC Certified Entities or Traders.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity will use a CoC Document template for each shipment of CoC Material to other Certified entities or Traders, including the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity will use a CoC Document template for each shipment of CoC Material to other Certified entities or Traders, including the date of issue and reference number.

CRITERION	RATING	COMMENT
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity will use a CoC Document template for each shipment of CoC Material to other Certified entities or Traders, including the issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity will use a CoC Document template for each shipment of CoC Material to other Certified entities or Traders, including the details of the receiving customer.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that the Sales Department Supervisor is responsible for verifying the information in CoC Documents and signing them.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity will use a CoC Document template for each shipment of CoC Material to other Certified entities or Traders, including the statement confirming that "The information provided in the CoC Document is in Conformance with the ASI CoC Standard".
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity will use a CoC Document template for each shipment of CoC Material to other Certified entities or Traders, including the Type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity will use a CoC Document template for each shipment of CoC Material to other Certified entities or Traders, including the mass of the material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity will use a CoC Document template for each shipment of CoC Material to other Certified entities or Traders, including the Mass of total Material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual that they will provide the applicable Sustainability Data in the CoC Document for that CoC Material upon customer request and will include the average (preferably cradle-to-gate) carbon footprint of the CoC Material and the accounting method applied.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that they will provide the applicable Sustainability Data in the CoC Document for that CoC Material when the customer raises the request and will include the information to support the origin of Aluminium.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that they will provide the applicable Sustainability Data in the CoC Document for that CoC Material when the customer raises the request and will include the Recycled content, including methodology regarding Pre-Consumer Scrap and Post-Consumer Scrap information.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that they will provide the applicable Sustainability Data in the CoC Document for that CoC Material when

CRITERION	RATING	COMMENT
		the customer raises the request and will include the ASI Certification Status for the ASI Performance Standard for the Entity.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that they will provide the applicable Sustainability Data in the CoC Document for that CoC Material when the customer raises the request and will include the Supplementary Information will be supported by Objective Evidence. The Sales Department and System Department will work together to ensure the information is accurate and verifiable.
9.5 Verification of Information	Conformance	The Entity has defined the responsibility and the process to respond to requests for verification of information in CoC Documents issued by the Entity.
9.6 Error (Shipping)	Conformance	Integrated with the ISO 9001 Quality Management System, the Entity has established a process to record the errors, analyse the root cause, and take the associated corrective actions to prevent their reoccurrence.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, the responsibility and the process of verification of the required information included in received CoC Documents.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, the responsibility and the process to verify the consistency of received CoC Documents with the accompanying CoC Material before recording the information in their Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, the responsibility and the process to verify supplier CoC Certification Status.
10.4 Error (Reception)	Conformance	Following the Non-conformance and Corrective Action Management Procedure in the Quality Management System, the Entity has established a process to record the errors, and feedback to supplier and require them to take the associated corrective action to prevent their reoccurrence.
11. CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has defined in the ASI Chain of Custody Standard Management Manual, that all claims and communications must follow the ASI Claims Guide including communication with the ASI Secretariat. The relevant roles and responsibilities are defined.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity had assigned the roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide and the claims and/or representations made must be supported by verifiable evidence. No claim related to ASI claims has been made by the Entity.

CRITERION	RATING	COMMENT
11.1c Claims and Communications (Employee training)	Conformance	The Entity provides training courses on claims and communication 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	30 January 2024	Initial Certification Audit – Full Certification