

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Henan Zhongfu High Precision Aluminium Products Co., Ltd.

CERTIFICATE NUMBER

353

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED AUDITING
FIRM

SGS-CSTC
STANDARDS
TECHNICAL SERVICES

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 'Jha', with a long horizontal line extending to the right.

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

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

CERTIFICATION SCOPE

Manufacture of Aluminium alloy
sheets, strips, and foils including re-
melting, casting, hot rolling, cold
rolling, coating, slitting, and
oxidation processes.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Henan Zhongfu High Precision Aluminium Products Co., Ltd
ENTITY NAME	Henan Zhongfu High Precision Aluminium Products Co., Ltd.
CERTIFICATION SCOPE	Manufacture of Aluminium alloy sheets, strips, and foils including re-melting, casting, hot rolling, cold rolling, coating, slitting, and oxidation processes.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-Casthouse
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none">Initial Certification Audit
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none">27 – 28 November 2023
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">30 December 2023
AUDIT SCOPE	<p>The audit scope covers casting house, cold rolling plant, hot rolling plant for the manufacture of Aluminium alloy sheets, strips and aluminium alloy foils at Henan Zhongfu High Precision Aluminum Products Co., Ltd.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none">Aluminium Re-melting/RefiningCasthousesPost-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 July 2025

CERTIFICATE NUMBER 353



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

Henan Zhongfu High Precision Aluminum Products Co., Ltd. was established in May 2018, at No. 2, Yulian Industrial Park, Zhanjie Town, Gongyi City, Henan Province, P.R. China. The Entity's primary focus is to produce high-quality Aluminum can materials, high-grade double-zero Aluminum foil blanks, high surface anodized materials for 3C electronic products, high-performance plates for tanker trucks, billets for automotive plates, and aluminium foil blanks for new energy battery packs. These products are widely used in packaging for fast-moving consumer goods such as beverage cans, tetra packs, aseptic packs, automotive lightweight materials and consumer electronics.

The Entity is situated in Yulian Industrial Park, Zhanjie Town, Gongyi City, Henan Province. It is situated away from schools, scenic spots, drinking water source areas, and other sensitive receptors. The main production processes of the plant include remelting and casting, hot rolling, cold rolling, and finishing. The plant has a designed production capacity of 620,000 tonnes per annum and a current actual production capacity of approximately 468,000 tonnes per annum. The main building of the Entity comprises of a joint plant building, a shipping centre, and office areas supporting the plant.

Additionally, the Entity is equipped with a melting furnace, holding furnace, furnace refining equipment, electromagnetic stirring equipment, double chamber furnace, rotary furnace, vertical push furnace, sawing machine, milling machine, "1 + 4" hot rolling mill, cold rolling mill, straightening machine, longitudinal cutting machine, packaging machine, coating line, work roll grinder, universal grinder, and other equipment. The workshop is equipped with a semi-finished products transit area and a finished product's automatic three-dimensional warehouse.

The Entity also has water treatment and wastewater treatment stations, air pressure stations, hazardous waste storage, and general solid waste storage. The Entity also has an employee lounge, an employee locker room, an employee bathroom, and an employee temporary dining room for the convenience of working employees. The Entity also has a parking lot and a staff restaurant. The protective fence around the Entity's boundary is equipped with video surveillance. The employee living area is set up around the Entity, which has a supermarket, medical point, restaurant, soccer field, golf course, and kindergarten to meet the living needs of employees and their families.

The Entity currently employs nearly 2,000 employees, and its main stakeholders include shareholders, customers, partners, downstream supply chains, and relevant government departments such as the tax department. The continuous development of the enterprise provides employment opportunities for the neighbouring residents and drives the economic development of the surrounding area.

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	Low
OVERALL	MEDIUM

FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity has been registered as an ASI Member in good standing since 2020 and is associated with the Production and Transformation membership class. They are committed to complying with all obligations to ASI membership and the ASI Grievance Mechanism. http://www.zfsy.com.cn/uploadFiles/files/20220803164152.pdf http://aluminium-stewardship.org/about-asi/current-members
1.2 CoC Management System	Conformance	The Entity has established an ASI Manual and implemented a Management System that meets all applicable requirements of the ASI Chain of Custody Standard for all Facilities under the Entity's control that have Chain of Custody (CoC) Material Custody.
1.3 CoC Management System Monitoring	Conformance	The Entity reviews its Management System annually, following a defined Procedure and addressing potential areas of Non-Conformance.
1.4 Management Representative	Conformance	The Entity has nominated its General Manager as the Management Representative whose roles and responsibilities are defined in writing and are communicated within the Entity. The Entity has implemented a team to assist this role with the implementation of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established an annual training plan for the ASI CoC Management System to ensure relevant personnel are aware of and competent in their responsibilities under the ASI Chain of Custody Standard. The training plans address the ASI Standard, the ASI Manual and Procedure and other related training.
1.6 Records Management	Conformance	The Entity has implemented an 'ASI CoC Documents and Records Control' Procedure. As defined in this Procedure, all records must be kept for at least five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Not Applicable	This Criterion is not applicable for the Initial Certification Audit, as the Entity is not required to report Input and Output quantities of CoC Material and Eligible Scrap (where relevant) and Non-CoC Material Inflows and Outflows.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	This Criterion is not applicable for the Initial Certification Audit, as the Entity is not required to report Input and Output quantities of CoC Material and Eligible Scrap (where relevant) and Non-CoC Material Inflows and Outflows.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Not Applicable	This Criterion is not applicable for the Initial Certification Audit, as the Entity is not required to report Input and Output quantities of CoC Material and Eligible Scrap (where relevant) and Non-CoC Material Inflows and Outflows.
1.7d Reporting to ASI (Positive Balance carried over)	Not Applicable	This Criterion is not applicable for the Initial Certification Audit, as the Entity is not required to report Input and Output quantities of CoC

CRITERION	RATING	COMMENT
		Material and Eligible Scrap (where relevant) and Non-CoC Material Inflows and Outflows.
1.7e Reporting to ASI (Positive Balance used)	Not Applicable	This Criterion is not applicable for the Initial Certification Audit, as the Entity is not required to report Input and Output quantities of CoC Material and Eligible Scrap (where relevant) and Non-CoC Material Inflows and Outflows.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Not Applicable	This Criterion is not applicable for the Initial Certification Audit, as the Entity is not required to report Input and Output quantities of CoC Material and Eligible Scrap (where relevant) and Non-CoC Material Inflows and Outflows.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	This Criterion is not applicable for the Initial Certification Audit, as the Entity is not required to report Input and Output quantities of CoC Material and Eligible Scrap (where relevant) and Non-CoC Material Inflows and Outflows.

2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	The Criterion is not applicable, as the Entity does not use Outsourcing Contractors. The Entity's 'CoC Outsourcing Contractor Management' Procedure requires that any Outsourcing Contractor without CoC Certification who handles an Entity's CoC Material for further processing or manufacturing must be identified in the Entity's CoC Certification Scope.
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.

CRITERION	RATING	COMMENT
3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM		
3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1c ASI Bauxite (Bauxite sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a ASI Alumina (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
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 systems to ensure the receipt and production of ASI Aluminium according to the ASI Chain of Custody Standard. ASI Aluminium is produced only from Aluminium smelters that are within the Entity's CoC Certification Scope. Until now, no Recycled Aluminium has been used as Input to produce ASI Aluminium.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity holds a valid Performance Standard Certification (Certificate Number 123): https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co--Ltd
4.2a Eligible Scrap (Pre-Consumer)	Minor Non-Conformance	The Entity has established an 'ASI CoC Recycled Aluminium Management' Procedure which stipulates the criteria and management program of Eligible Scrap and its suppliers. However, it was identified that the Due Diligence of a Pre-Consumer supplier had not been conducted.
4.2b Eligible Scrap (Post-Consumer)	Minor Non-Conformance	The Entity has established an 'ASI CoC Recycled Aluminium Management' Procedure which stipulates the criteria and management program of Eligible Scrap and its suppliers. However, it

CRITERION	RATING	COMMENT
		was identified that the Due Diligence of a Post-Consumer supplier had not been conducted.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity, as it has not purchased Eligible Scrap from suppliers of treated Aluminium Dross or Recycled Aluminium from Aluminium ash and other Aluminium containing waste.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has established a 'ASI CoC Recycled Aluminium Management' Procedure, and recorded information on contractors who supply Recyclable Scrap Material directly, including their identity, principles, and locations.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	The Entity has implemented a Cash Payment Principle which limits cash transactions to no more than US\$10,000. In reality, there are no cash transactions between the Entity and its suppliers
5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The single Casthouse on site is included in the Entity's CoC Certification Scope, and all of the products from this Casthouse are traceable in the Business Innovation Platform (BIP) system.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity holds a valid Performance Standard Certification (Certificate Number 123): https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co---Ltd
5.1c ASI Aluminium (Aluminium sourcing)	Minor Non-Conformance	<p>The Entity has implemented a 'Quality Management Regulations for Raw and Auxiliary Materials' Procedure which requires that the Sourcing of ASI Aluminium should either be directly from another ASI CoC Certified Entity or via a Trader, where the ASI Aluminium can be identified as from an ASI CoC Certified Entity accompanied by verified CoC Documentation.</p> <p>However, it was identified the Entity has not implemented the requirement to confirm the supplier's Chain of Custody or Performance Standard Certificate when purchasing ASI Aluminium from these suppliers.</p>
5.2 Unique Identification	Minor Non-Conformance	The Entity has established a 'Code Rules of Product' Procedure which defines the serial code rules for each batch of product. The letter and symbol in the Code are given special meanings, such as date, stove, production line and type. However, it was identified that no unique number, letter or symbol for ASI Aluminium can be identified and implemented.
6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented Procedures and systems to control the production process to ensure all Post-Casthouse ASI Aluminium from the Facilities included in the Entity's CoC Certificate Scope can be identified.

CRITERION	RATING	COMMENT
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity holds a valid Performance Standard Certification (Certificate Number 123): https://aluminium-stewardship.org/about-asi/members/Henan-Zhongfu-High-Precision-Aluminium-Products-Co---Ltd
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Not Applicable	This Criterion is not applicable, as all of the Entity's Post-Casthouse ASI Aluminium is derived from re-melts and casting stoves. They are not sourcing ASI Aluminium externally.
7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible Sourcing Policy (Anti-corruption)	Minor Non-Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy addressing Anti-Corruption, available at: http://www.zfsy.com.cn/uploadFiles/files/20220803164152.pdf</p> <p>The Entity distributes the Responsible Sourcing Policy to its suppliers of Non-CoC Material, Recyclable Scrap Material, and CoC Material supplied through a Trader. However, it has been found that there is no objective evidence to confirm that these suppliers have received the Responsible Sourcing Policy.</p>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Minor Non-Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy, available at: http://www.zfsy.com.cn/uploadFiles/files/20220803164152.pdf</p> <p>As part of responsible sourcing commitments, the Entity conducts Human Rights Due Diligence on their suppliers of raw materials. If it is determined that direct suppliers are in violation of Human Rights, whether they or any of their related parties are involved, the Entity will cease business with them.</p> <p>The Entity distributes the Responsible Sourcing Policy to its suppliers of Non-CoC Material, Recyclable Scrap Material, and CoC Material supplied through a Trader. However, it has been found that there is no objective evidence to confirm that suppliers have received the Responsible Sourcing Policy.</p>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Minor Non-Conformance	<p>As part of its responsible sourcing commitments, the Entity conducts Human Rights Due Diligence on their suppliers of raw materials. If it is determined that direct suppliers are in violation of Human Rights, whether they or any of their related parties are involved, the Entity will cease business with them.</p> <p>The Entity sends the Responsible Sourcing Policy to its suppliers of Non-CoC Material, Recyclable Scrap Material, and CoC Material supplied through a Trader. However, it has been found that there is no objective evidence to prove that these suppliers have received the Responsible Sourcing Policy.</p>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Minor Non-Conformance	<p>The Entity has publicly disclosed its Responsible Sourcing Policy covering Conflict-Affected and High-Risk Areas, available at: http://www.zfsy.com.cn/uploadFiles/files/20220803164152.pdf</p> <p>The Entity distributes the Responsible Sourcing Policy to its suppliers of Non-CoC Material, Recyclable Scrap Material, and CoC Material supplied through a Trader. However, it has been found that there is no objective evidence to confirm that suppliers have received the Responsible Sourcing Policy.</p>

CRITERION	RATING	COMMENT
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established an 'ASI CoC Supplier Due Diligence' Procedure to assess the risks of non-compliance with its Responsible Sourcing Policy. The Entity's supplier survey addresses non-compliance on environment, social and governance.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has implemented a Complaints Resolution Mechanism, the website lists several ways to submit complaints such as through the General Manager's email box (http://app.yulian.cn:8069/hello) and a phone number accessible by employees, suppliers and any other external parties. http://www.zfsy.com.cn/uploadFiles/files/20220803164152.pdf

8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity has established a 'Mass Balance System CoC Materials and ASI Aluminum Management' Procedure and installed a Business Innovation Platform (BIP) system for the Material Accounting System that records the Input Quantity and Output Quantity of Aluminum material by mass.
8.2 Material Accounting Period	Conformance	The Entity has established a Material Accounting Period of 12 months (within a calendar year) within the BIP system.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a Procedure that defines that in a given Material Accounting Period, the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow within the Certification Scope should be recorded. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material must be based on an assessment of Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	The Entity has established a Metal Inventory Management System which defines that over the given Material Accounting Period, the Entity must use the Input Quantities for each CoC Material to determine the available Quantities of CoC Material for Output, proportional to total Inflows of CoC and Non-CoC Materials, by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity has established a 'Mass Balance System CoC Materials and ASI Aluminum Management' Procedure to define the Output Quantity of CoC Material, which may be a subset of total production, must be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has established a 'Mass Balance System CoC Materials and ASI Aluminum Management' Procedure to define If the Entity generates Scrap and designates the relevant proportion as Eligible Scrap, the Entity must for the given Material Accounting Period, use the same percentage share as for its Output of ASI Aluminum.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has established the BIP System to ensure the total CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material and/or Eligible Scrap over the Material Accounting Period.

CRITERION	RATING	COMMENT
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has established a 'Mass Balance System CoC Materials and ASI Aluminum Management' Procedure to define the Internal Overdraw must not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has established a 'Mass Balance System CoC Materials and ASI Aluminium Management Procedure' to define the carry-over of an Internal Overdraw to the subsequent Material Accounting Period (next calendar year) when it is subjected to a Force Majeure situation. It states 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 established a 'Mass Balance System CoC Materials and ASI Aluminum Management' Procedure to define the Internal Overdraw must be made up within the subsequent Material Accounting Period. The Internal Overdraw must be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established a 'Mass Balance System CoC Materials and ASI Aluminum Management' Procedure to define that a Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period. The Procedure includes the Entity's Material Accounting System must identify any carry over of a Positive Balance.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established a "Mass Balance System CoC Materials and ASI Aluminum Management" Procedure to define that a Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period. The Procedure includes a 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 has established a 'CoC Documents Issuance Management' Procedure, which defines that a CoC Document should accompany each shipment of CoC Material dispatched to other CoC Certificated Entities. Until now there is no CoC Material was distributed from the Entity's facilities.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure, which defines the CoC Document to include the date of issue of the CoC Document.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure, which defines the CoC Document should include the number of 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 Entity has established a 'CoC Documents Issuance Management' Procedure, which defines that the CoC Document is to include the identity, address and CoC Certification number of the Entity.

CRITERION	RATING	COMMENT
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure, which defines that the CoC Document should include the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure, which defines that the CoC Document should include a signature of the responsible employee of the Entity who can verify information in the CoC Document. Until now no CoC Material has been produced by the Entity.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure which defines that the CoC Document must contain the conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure which defines that the CoC Document must include the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure which defines that the CoC Document must include the mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has established a 'CoC Documents Issuance Management' Procedure which defines that the CoC Document must include the mass of total material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	The Criterion is not applicable, as the Entity has not provided Sustainability Data. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document includes the applicable Sustainability Data where applicable.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	The Criterion is not applicable, as the Entity has not provided Sustainability Data. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document includes the applicable Sustainability Data where applicable.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	The Criterion is not applicable, as the Entity has not provided Sustainability Data. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document includes the applicable Sustainability Data where applicable.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	The Criterion is not applicable, as the Entity has not provided Sustainability Data. However, the Entity has established a 'CoC Documents Issuance Management' Procedure which defines that a CoC Document includes the applicable Sustainability Data where applicable.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	The Criterion is not applicable, as the Entity has not provided additional information as no ASI Aluminium product has been dispatched. However, the Entity has established a 'CoC Documents

CRITERION	RATING	COMMENT
		Issuance Management' Procedure which defines that a CoC Document can include additional information where applicable.
9.5 Verification of Information	Conformance	The Entity has established a system for responding to reasonable requests from external parties who are interested in verifying the information in the CoC Documents issued by the Entity. A responsible employee has been appointed to issue the CoC Documents and to respond to verification requests.
9.6 Error (Shipping)	Conformance	The Entity has established a Procedure that defines the disposal process for a discovered error after COC Material shipment. Any errors identified by the Entity are promptly reported to the receiving business and remedied by both parties agreeing to the steps taken to correct it.
10. RECEIVING COC DOCUMENTS		
10.1 Verification of CoC Documents	Conformance	The Entity has established a Procedure that stipulates all required information in received CoC Documents should be verified.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established a Procedure that specifies the Production Management Office is to verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established a Procedure that specifies Production Management Office should check the ASI website once a quarter to verify the validity and scope of the supplier's ASI CoC Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error (Reception)	Conformance	The Entity has established a Procedure that specifies the disposal process for a discovered error after COC Material is received. The Entity and the supplying party must document the error and the agreed steps taken to correct it and implement actions to avoid a recurrence.
11. CLAIMS AND COMMUNICATIONS		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has established an 'ASI CoC Claim and Communication Management' Procedure. The Procedure defines the claim and communication is to be made in a manner and form consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has established an 'ASI CoC Claim and Communication Management' Procedure. The Procedure defines the claim and communication is to be made in a manner and form consistent with the ASI Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	Interview with a trainer demonstrated relevant employees understand and know how to communicate the claims and representations. The Entity has not made any external claim or communication about ASI CoC certification.

ASI LIMITATION OF LIABILITY DISCLAIMER

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DOCUMENT CONTROL AND VERSION HISTORY

REVISION	DATE	NOTES
0	30 January 2024	Initial Certification Audit – Full Certification
