

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Hindalco Industries Limited, Mouda Unit

CERTIFICATE NUMBER

376

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

CETIZION VERIFICA

DATE OF ISSUE

7 JUNE 2024

DATE OF EXPIRY

6 JUNE 2027

CERTIFIED SINCE

7 JUNE 2024

AUTHORISED BY

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Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
[info@aluminium-stewardship.org](mailto:info@aluminium-stewardship.org)

*Validity of this Certificate is subject to  
continued conformance with the  
applicable ASI Standard and can be  
verified at  
[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)*

CERTIFICATION SCOPE

Manufacturing and supply of unalloyed  
and alloyed Aluminium plates, coils,  
sheets, foil and fin products at Hindalco  
Industries Limited, Mouda Unit, India.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Hindalco Industries Ltd., Mouda Unit
ENTITY NAME	Hindalco Industries Limited, Mouda Unit
CERTIFICATION SCOPE	Manufacturing and supply of unalloyed and alloyed Aluminium plates, coils, sheets, foil and fin products at Hindalco Industries Limited, Mouda Unit, India.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Casthouses</li><li>• Post-Casthouse</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>• Chain of Custody Standard V2</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit</li></ul>
AUDIT FIRM	CETIZION Verifica
AUDIT DATE	<ul style="list-style-type: none"><li>• 2 December 2023</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 1 May 2024</li></ul>
AUDIT SCOPE	<p>The Audit Scope included the manufacturing and supply of unalloyed and alloyed Aluminium plates, coils, sheets, foil and fin products at Hindalco Industries Limited, Mouda Unit, India.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>• Casthouses</li><li>• Post-Casthouse</li></ul> <p>All relevant criteria from the ASI Chain of Custody Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.</li><li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li></ul>
CERTIFICATION PERIOD	7 June 2024 – 6 June 2027

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NEXT AUDIT TYPE                      Surveillance Audit

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NEXT AUDIT DUE DATE                6 December 2025

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CERTIFICATE NUMBER                 376

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If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

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## ENTITY OVERVIEW

The Hindalco Industries Limited Mouda Plant (the 'Entity') is the Aluminium foil plant of Hindalco, the flagship company of the Aditya Birla group with a consolidated turnover of USD 26 billion. Primarily producing bare foil for pharmaceutical, food, and other industrial applications. The Entity is located in the central part of India, approximately 40 kilometres from Nagpur on the Kolkata national highway. The area of the Entity covers approximately 100 hectares, of which includes a built up area of 11 hectares, a 7 megawatt (MW) solar plant, water conservation ponds and open green area.

The Entity's product range includes bare foil, pharmaceutical foil, and consumer products such as semi-rigid containers and house foil, including Freshwrapp which is a well-known brand. The Mouda plant is the first foil plant in India with Aluminium Stewardship Initiative (ASI) Certification, and it became the first plant in India to obtain BIS Certification for IS 16011:2012 and the second for IS 15392:2003 certification. Aluminium foil produced in the plant meets the requirement with EN 602:2004 standard for safe contact with food. The unit is certified with ISO 9001:2015, ISO 14001:2015, ISO 45001:2018, and BRCGS- Packaging issue 6.

The Entity has foil mill assets transferred from Novelis, Bridgnorth, United Kingdom (UK). The foil mills, of Achenbach, Germany, and SMS, Germany, are equipped with the latest thickness and flatness control systems and are capable of rolling foils from 6 to 50 microns thickness. The equipment is designed for maximum productivity with 6kg per mm coil density, 1600mm product width, and foil rolling speeds of 1200-1500 metres per minute.

The Entity has a strong presence in corporate social responsibility in accordance with the group's guidelines. The plant has taken initiatives in the areas of education, health, and women empowerment. The Entity is also committed to contributing to the social and economic development of the surrounding communities by providing employment opportunities. To achieve this, it has partnered with government bodies, district authorities, Taluka, and village Panchayats.

## MATURITY RATINGS

A rating of maturity (low, medium or high) determined by the Auditor that provides a general assessment in terms of systems, Residual Risk and performance assigned to a Sustainability Component.

Maturity ratings are not a direct assessment of conformance to the Standard.

OVERALL	
<b>SYSTEMS</b>	High
<b>RISKS</b>	Low
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity is an ASI Member in the Production and Transformation Class: <a href="https://aluminium-stewardship.org/about-asi/members/Hindalco-Industries-Ltd---Mouda-Unit">https://aluminium-stewardship.org/about-asi/members/Hindalco-Industries-Ltd---Mouda-Unit</a>
1.2 CoC Management System	Conformance	The Entity has developed and implemented the ASI Chain of Custody Standard requirements through an overarching manual and standard operating procedures supported by various formats.
1.3 CoC Management System Monitoring	Conformance	The Entity has conducted periodic monitoring of the ASI CoC Management System, including its conformance and took necessary corrective action, wherever required.
1.4 Management Representative	Conformance	The Entity has designated a Management Representative responsible for the effective implementation and reporting of ASI CoC requirements.
1.5 Communications and Training	Conformance	The Entity has communicated the ASI CoC-related information and Standard Operating Procedures (SOPs) to responsible employees through the intranet and various awareness training sessions. This was confirmed through training records and endorsement of functional employees.
1.6 Records Management	Conformance	The Entity has maintained related records under safe custody, and the ASI CoC-related document retention period is defined as five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has defined the annual reporting requirements. The Entity's obligation to report to the ASI Secretariat will commence in 2025.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has defined the annual reporting requirements. The Entity's obligation to report to the ASI Secretariat will commence in 2025.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has defined the annual reporting requirements. The Entity's obligation to report to the ASI Secretariat will commence in 2025.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has defined the annual reporting requirements. The Entity's obligation to report to the ASI Secretariat will commence in 2025.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has defined the annual reporting requirements. The Entity's obligation to report to the ASI Secretariat will commence in 2025.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has defined the annual reporting requirements. The Entity's obligation to report to the ASI Secretariat will commence in 2025.

CRITERION	RATING	COMMENT
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has defined the annual reporting requirements. The Entity's obligation to report to the ASI Secretariat will commence in 2025.
<b>2. OUTSOURCING CONTRACTORS</b>		
2.1 Certification Scope	Conformance	The Entity has identified non-CoC Certified Outsourcing Contractors who are currently not included in the Entity's CoC Certification Scope. There is no CoC Material under the Custody of the Outsourcing Contractor at present. The Outsourcing Contractor will be included in the CoC Certification Scope in the future, prior to the Entity receiving any CoC Material.
2.2a Control of CoC Material (Legal ownership or control)	Conformance	The Entity has defined the necessary control requirements for an Outsourcing Contractor that takes Custody of the Entity's CoC Material for the purposes of further processing, treatment, or manufacturing. There is no CoC Material under the Custody of Outsourcing Contractors at present.
2.2b Control of CoC Material (No further outsourcing)	Conformance	The Entity has defined the necessary control requirements for an Outsourcing Contractor that takes Custody of the Entity's CoC Material prohibiting further outsourcing. There is no CoC Material under the Custody of Outsourcing Contractors at present.
2.2c Control of CoC Material (Risk assessment)	Minor Non-Conformance	The Entity has not documented the risk assessment of potential Non-Conformance with the ASI CoC Standard resulting from the engagement of each Outsourcing Contractor included within the CoC Certification Scope.
2.3 Information on Quantity of CoC Material Output and Returned	Conformance	The Entity's ASI CoC procedures require that the Outsourcing Contractor provides information on the Output Quantity of CoC Material and the Quantity of CoC Material returned to the Entity at the conclusion of the Entity's Material Accounting Period (or more frequently as required).
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Conformance	The Entity has established a system that is required to verify that the Quantity of CoC Material Output or returned by the Outsourcing Contractor is consistent with the Quantity of CoC Material provided to the Outsourcing Contractor and records Quantities in the Material Accounting System.
2.5 Error (Outsourcing Contractor)	Conformance	The Entity has documented the procedure for errors discovered after CoC Material has been shipped, requiring the Entity and the Outsourcing Contractor to document the error and the agreed steps to correct it and implement actions to avoid a recurrence.
<b>3. PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM</b>		
3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Bauxite (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

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.
<b>4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP</b>		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has developed systems to ensure that ASI Aluminium is produced only from Casthouses that are within the Entity CoC

CRITERION	RATING	COMMENT
		Certification Scope and/or in which the Unit holds a legal interest and are within the CoC Certification Scope of another CoC Certified Entity.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity is certified to the ASI Performance Standard version 3.0 (Certificate 182).
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has developed a system and procedures to ensure that ASI Aluminium is produced only from Casthouses that are sourcing ASI Aluminium either directly from another ASI CoC Certified Entity, or via a Trader, where the ASI CoC Certified Entity that is the source of the ASI Aluminium can be identified and can provide a verified CoC Document.
5.2 Unique Identification	Conformance	The Entity has developed a system and procedures to ensure that unique identification numbers (Batch number) are either physically stamped and/or printed on or with ASI Aluminium by the Entity, correspond to the Input Quantities of CoC Material for that Entity's Material Accounting Period.

#### 6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	<p>The Entity is a valid ASI Member and Certified to the ASI Performance standard version 3.0.</p> <p>The Entity has developed systems to ensure that it is producing ASI Aluminium only from Facilities within the ASI CoC Certification Scope.</p>
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity is certified to the ASI Performance Standard.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity sources Primary Aluminium from both ASI Certified Entities and others with current plans to become certified. To date, no ASI Aluminium has been received, however, the Entity has developed a documented procedure for handling ASI Aluminium.

#### 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	<p>The Entity has developed a Supplier Code of Conduct that addresses the responsible sourcing requirements, including anti-Corruption: <a href="https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf">https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf</a></p>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	<p>The Entity has developed a Supplier Code of Conduct that addresses the responsible sourcing requirements: <a href="https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf">https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf</a></p> <p>The Supplier Code of Conduct is communicated and acknowledged by all suppliers of goods and services in accordance with procurement guidelines. The Entity conducts supplier audits to verify conformance with the Supplier Code of Conduct following a risk-based approach.</p>



CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human Rights Due Diligence)	Conformance	<p>The Entity has developed a Supplier Code of Conduct that addresses the responsible sourcing requirements, including Human Rights Due Diligence and others:  <a href="https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf">https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf</a></p> <p>The Supplier Code of Conduct is communicated and acknowledged by all suppliers of goods and services in accordance with procurement guidelines.</p>
7.1d Responsible Sourcing Policy (Conflict-Affected and High-Risk Areas)	Conformance	<p>The Entity has developed a Supplier Code of Conduct that addresses responsible sourcing requirements, including Conflict-Affected and High-Risk Areas (CAHRAs), available at:  <a href="https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf">https://www.hindalco.com/upload/pdf/annexure-IVa-hindalco-supplier-code-conduct.pdf</a></p> <p>The Supplier Code of Conduct is communicated and acknowledged by all suppliers of goods and services in accordance with procurement guidelines. The Entity's assessment determined that there are no suppliers located in a CAHRA.</p>
7.2 Risk Assessment and Mitigation	Minor Non-Conformance	<p>The Entity has adopted a risk-based approach and has commenced supplier audits to monitor conformance with its responsible sourcing Policy (Supplier Code of Conduct) requirements.</p> <p>However, there are currently no documented risk assessments by, at a minimum, its direct (Tier 1) suppliers (including Traders) of Non-CoC Material, Recyclable Scrap Material, and CoC Material and Eligible Scrap supplied by a Trader, to demonstrate their conformance with the Entity's Supplier Code of Conduct. As such, the findings including any requirement to undertake measurable risk mitigation whilst identified, are not documented.</p>
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity has disclosed its Complaint Resolution Mechanism in the Integrated Sustainability Report, page 93:  <a href="https://www.hindalco.com/upload/pdf/hindalco-annual-report-2022-23.pdf">https://www.hindalco.com/upload/pdf/hindalco-annual-report-2022-23.pdf</a></p>
<b>8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity has defined a Material Accounting Period that follows the mass balance approach.
8.2 Material Accounting Period	Conformance	The Entity has defined a Material Accounting Period of twelve months.
8.3 Input and Inflow Quantities	Conformance	The Entity has documented procedures for the recording of the Quantities of each CoC Material and Eligible Scrap Input and the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow to the Certification Scope. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material is based on an assessment of Aluminium content.
8.4 Output Quantities of CoC Material	Conformance	The Entity has documented procedures that requires the Input Quantities for each CoC Material be used to determine the available Quantities of CoC Material for Output, proportional to total Inflows of CoC and Non-CoC Materials, by mass.

CRITERION	RATING	COMMENT
8.5 Indivisibility of CoC Material	Conformance	The Entity has documented procedures for the Output Quantity of CoC Material, which may be a subset of total production, to be designated as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity has documented procedures that states that generated Scrap relevant proportion as Eligible Scrap, same percentage share as for its Output of ASI Aluminium.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has documented procedures to ensure 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.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has documented procedures that define that an Internal Overdraw shall not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period under a Force Majeure situation.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has documented procedures that define that an Internal Overdraw will 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 documented procedures that define that an Internal Overdraw will be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has documented procedures that define that any Positive Balance of CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period.
8.9b Positive Balance (Expiry)	Conformance	The Entity has documented procedures that define that any Positive Balance of CoC Material at the end of a Material Accounting Period carried over to the subsequent Material Accounting Period will expire at the end of that Material Accounting Period if not drawn down.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity has documented procedures that ensure a CoC Document accompanies 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 has developed a CoC Document which contains the date of issue, in addition to other required details.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has developed a CoC Document that contains the reference number, in addition to other required details.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity has developed a CoC Document that contains the details of the issuing Entity including address, CoC Certification number, in addition to other required details.

CRITERION	RATING	COMMENT
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has developed a CoC Document that contains the details of the receiving Entity including address, CoC Certification number (if available), in addition to other required details.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has developed a CoC Document that contains the responsible employee details, in addition to other required details.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has developed a CoC Document that contains the statement on Conformance, in addition to other required details.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has developed a CoC Document that contains the type of CoC Material in the shipment, in addition to other required details.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has developed a CoC Document that contains the mass of CoC Material in the shipment, in addition to other required details.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has developed a CoC Document that contains the mass of total material in the shipment, in addition to other required details.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has developed a CoC Document that contains the carbon footprint of the CoC Material, in addition to other required details.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	This Criterion is not applicable, as the Entity has not included information that provides details of the origin of Aluminium.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity has developed a CoC Document that contains the recycled content (% scrap) data, in addition to other required details.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	The Entity has developed a CoC Document that contains the ASI Performance Standard Certification number, in addition to other required details.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has developed a CoC Document that contains Supplementary Information supported by objective evidence.
9.5 Verification of Information	Conformance	The Entity has documented systems in place to enable it to respond to reasonable requests for verification of information in CoC Documents issued by the Entity.
9.6 Error (Shipping)	Conformance	The Entity has a documented procedure for managing any errors discovered after CoC Material has been shipped, requiring the Entity and the receiving party to document the error and the agreed steps taken to correct it and implement actions to avoid a recurrence.

CRITERION	RATING	COMMENT
<b>10. RECEIVING CoC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity has documented procedures that define the responsibility to verify information in received CoC Documents. No CoC Documents have been received to date.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has documented procedures that define the responsibility 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 documented procedures that define the responsibility to verify the status of suppliers' ASI CoC Certification through the ASI website.
10.4 Error (Reception)	Conformance	The Entity has a documented procedure for errors discovered after CoC Material or Eligible Scrap has been received, requiring the Entity and the supplying party to document the error and the agreed steps taken to correct it and implement actions to avoid a recurrence.
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has documented procedures defining conditions on claims and communication about CoC Material, in a manner and format consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has documented procedures defining conditions on claims and communication about CoC Material, and availability of verifiable evidence to support the claims and/or representations made.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has documented procedures defining conditions on claims and communication about CoC Material, and training is provided for relevant employees to properly understand and communicate the claims and/or representations made.

#### 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	7 June 2024	Initial Certification Audit – Full Certification