

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

Guangyuan Linfeng Aluminum & Electricity Co., LTD

CERTIFICATE NUMBER

371

ASI STANDARD

CHAIN OF CUSTODY
(V2 2022)

CERTIFICATION LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITING FIRM

SGS-CSTC
STANDARDS
TECHNICAL SERVICES

DATE OF ISSUE

3 JUNE 2024

DATE OF EXPIRY

2 JUNE 2027

CERTIFIED SINCE

3 JUNE 2024

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', 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

Aluminium smelting processes for the
manufacture of electrolytic Aluminium
liquid at Guangyuan Linfeng Aluminum
& Electricity Co., LTD., Guangyuan City,
Sichuan Province, China.

AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

| | |
|-------------------------------|--|
| MEMBER NAME | Guangyuan Linfeng Aluminum & Electricity Co., LTD |
| ENTITY NAME | Guangyuan Linfeng Aluminum & Electricity Co., LTD |
| CERTIFICATION SCOPE | Aluminium smelting processes for the manufacture of electrolytic Aluminium liquid at Guangyuan Linfeng Aluminum & Electricity Co., LTD, Guangyuan City, Sichuan Province, China. |
| SUPPLY CHAIN ACTIVITIES | <ul style="list-style-type: none">Aluminium Smelting |
| ASI STANDARD | <ul style="list-style-type: none">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">10 – 11 March 2024 |
| AUDIT REPORT SUBMISSION | <ul style="list-style-type: none">13 April 2024 |
| AUDIT SCOPE | <p>The Audit Scope includes the Aluminium smelting processes for the manufacture of electrolytic Aluminium liquid at Guangyuan Linfeng Aluminum & Electricity Co., LTD, Guangyuan City, Sichuan Province, China.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none">Aluminium Smelting <p>All relevant criteria in the ASI Performance 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 | 3 June 2024 – 2 June 2027 |

NEXT AUDIT TYPE Surveillance Audit

NEXT AUDIT DUE DATE 3 June 2025

CERTIFICATE NUMBER 371



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

Guangyuan Linfeng Aluminum & Electricity Co., LTD. (the 'Entity') was established in late 2018, and is located in Yuanjiaba Industrial Park, Guangyuan Economic and Technological Development Zone, Sichuan Province, China. The main production processes on site include electrolytic Aluminium liquid. The terminal products are widely used in the downstream Aluminium deep processing users. As the Entity is located within an industrial park, there are no sensitive receptors including residents, schools and public space.

The main production process of the Entity currently includes 234 sets of 400kA electrolytic Aluminium tanks, with a designed output of 250,000 tonnes per annum with a current output of 240,000 tonnes per annum. The main building of the factory includes one joint plant, an anode assembly workshop, and a supporting office area. The plant has an electrolytic cell, electrolytic multifunctional unit, a 12 tonne Aluminium lifting ladle, an Aluminium lifting ladle transport vehicle, waste gas treatment system, wastewater treatment system and other equipment.

The Entity also has a water treatment station, comprehensive wastewater treatment station, air compressor station, hazardous waste warehouse and general solid waste warehouse. The Entity has a staff lounge, staff changing rooms, temporary staff restaurant, for the convenience of employees. There are living quarters for employees which includes medical points, restaurants, and basketball courts.

The Entity currently has approximately 750 employees, and its main Stakeholders include shareholders, customers, partners, downstream supply chains, and relevant government departments. The continuous development of the Entity provides employment opportunities for surrounding residents and drives the economic development of the surrounding areas.

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 an ASI Member in the Production and Transformation membership class since 2022, and is committed to complying with all obligations to ASI membership and the ASI Grievance Mechanism. For more information refer to: http://www.zfsy.com.cn/uploadFiles/files/20220711164548.pdf https://aluminium-stewardship.org/wp-content/uploads/2022/12/ASI-Summary-Audit-Report-Guangyuan-Linfeng-Certificate-224-PS-.pdf |
| 1.2 CoC Management System | Conformance | The Entity has implemented a Management System that meets all applicable requirements of the ASI Chain of Custody Standard, in all Facilities under the Entity's control that have CoC Material Custody. The Entity has developed an ASI Manual for Guangyuan Linfeng Aluminum & Electricity Co., LTD. |
| 1.3 CoC Management System Monitoring | Conformance | The Entity has implemented a Management System that meets all applicable requirements of the ASI Chain of Custody Standard, in all Facilities under the Entity's control that have CoC Material Custody. The Entity has developed an ASI Manual for Guangyuan Linfeng Aluminum & Electricity Co., LTD. |
| 1.4 Management Representative | Conformance | The Entity has nominated its Chief Engineer as the Management Representative whose roles and responsibilities are defined in writing and are communicated within the Entity. Within the Entity, there is a team assisting this role in the implementation of the ASI Chain of Custody Standard. |
| 1.5 Communications and Training | Conformance | The Entity has established the annual training plan for the ASI CoC Management System that makes relevant personnel aware of and competent in their responsibilities. Which includes the ASI Chain of Custody Standard, ASI manual and training procedure. Related training has been implemented according to the training plan. |
| 1.6 Records Management | Conformance | The Entity has implemented a procedure 'ASI CoC Documents and Records Controlling', which specifies that all records be retained for a minimum of five years. |
| 1.7a Reporting to ASI (Inputs and Outputs of CoC Material) | Conformance | The Entity has established a procedure that defines how to report information, including Inputs and Outputs of CoC Material. |
| 1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap) | Conformance | The Entity has established a procedure that defines how to report information, including Inputs and Outputs of Eligible Scrap. |
| 1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material) | Conformance | The Entity has established a procedure that defines how to report information, including Inflows and Outflows of Non-CoC Material. |

| CRITERION | RATING | COMMENT |
|---|-------------|---|
| 1.7d Reporting to ASI (Positive Balance carried over) | Conformance | The Entity has established a procedure that defines how to report information, including Positive Balance carried over. |
| 1.7e Reporting to ASI (Positive Balance used) | Conformance | The Entity has established a procedure that defines how to report information, including Positive Balance used. |
| 1.7f Reporting to ASI (Internal Overdraw drawn down) | Conformance | The Entity has established a procedure that defines how to report information, including Internal Overdraw drawn down. |
| 1.7g Reporting to ASI (Intra-Entity Flows) | Conformance | The Entity has established a procedure that defines how to report information, including Intra-Entity Flows. |

2. OUTSOURCING CONTRACTORS

| | | |
|---|----------------|---|
| 2.1 Certification Scope | Not Applicable | The Criterion is not applicable, as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure. |
| 2.2a Control of CoC Material (Legal ownership or control) | Not Applicable | The Criterion is not applicable, as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure. |
| 2.2b Control of CoC Material (No further outsourcing) | Not Applicable | The Criterion is not applicable, as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure. |
| 2.2c Control of CoC Material (Risk assessment) | Not Applicable | The Criterion is not applicable, as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure. |
| 2.3 Information on Quantity of CoC Material Output and Returned | Not Applicable | The Criterion is not applicable, as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure. |
| 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 utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure. |
| 2.5 Error (Outsourcing Contractor) | Not Applicable | The Criterion is not applicable, as the Entity does not utilise any Outsourcing Contractors. However, the Entity has developed a CoC Outsourcing Contractor Management Procedure. |

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) | Conformance | The Entity engages in Aluminium Smelting and its smelting Facilities are included in the CoC Certification Scope. |
| 3.3b ASI Aluminium (Performance Standard) | Conformance | The Entity "Guangyuan Linfeng Aluminum & Electricity Co., LTD" has obtained ASI Performance Standard Certification (Certificate Number 224) in 2022. |
| 3.3c ASI Aluminium (Alumina sourcing) | Conformance | The Entity has established an ASI CoC Management System to ensure that its Alumina sourcing is ASI Certified whether it is from another ASI CoC Certified Entity or via a Trader. |

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. |

| CRITERION | RATING | COMMENT |
|--|----------------|---|
| 5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM | | |
| 5.1a ASI Aluminium (CoC Certification Scope) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 5.1b ASI Aluminium (Performance Standard) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 5.1c ASI Aluminium (Aluminium sourcing) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 5.2 Unique Identification | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM | | |
| 6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 6.1b Post-Casthouse ASI Aluminium (Performance Standard) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing) | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 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 publicly disclosed its Responsible Sourcing Policy which includes anti-Corruption at: http://www.zfsy.com.cn/uploadFiles/files/20220711164548.pdf</p> <p>The Responsible Sourcing Policy has been distributed to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material that is supplied through a Trader.</p> |
| 7.1b Responsible Sourcing Policy (Responsible sourcing) | Conformance | <p>The Entity has publicly disclosed its Responsible Sourcing Policy at: http://www.zfsy.com.cn/uploadFiles/files/20220711164548.pdf</p> <p>The Responsible Sourcing Policy has been distributed to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material that is supplied through a Trader.</p> |
| 7.1c Responsible Sourcing Policy (Human rights due diligence) | Conformance | <p>The Entity has publicly disclosed its Responsible Sourcing Policy with a commitment to Human Rights Due Diligence at: http://www.zfsy.com.cn/uploadFiles/files/20220711164548.pdf</p> <p>The Responsible Sourcing Policy has been distributed to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material supplied through a Trader.</p> <p>The Entity conducts Human Rights Due Diligence on suppliers of raw materials, using its influence to prevent displacements and Human Rights abuses. If it is determined that the direct suppliers are violating Human Rights, or if any of their related parties are involved in these behaviours, the Entity will stop working with them.</p> |

| CRITERION | RATING | COMMENT |
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| 7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas) | Conformance | The Entity has publicly disclosed its Responsible Sourcing Policy covering Conflict-Affected and High-Risk Areas at: http://www.zfsy.com.cn/uploadFiles/files/20220711164548.pdf The Responsible Sourcing Policy has been distributed to the Entity's suppliers of Non-CoC Material, Recyclable Scrap Material and CoC Material supplied through a Trader. |
| 7.2 Risk Assessment and Mitigation | Conformance | The Entity has established a Responsible Sourcing Policy and Supplier Management Procedure, where all material suppliers are investigated regularly. The investigation covers Human Rights Due Diligence. During the Audit, two raw material suppliers were visited, and it was verified they had been questioned about Due Diligence. |
| 7.3 Complaints Resolution Mechanism | Minor Non-Conformance | The Entity's Complaints Resolution Mechanism and the Entity's website list several ways to submit complaints through the General Manager mailbox (http://app.yulian.cn:8069/hello) and the 'tip-off' number is accessible to all employees, suppliers and any other external parties via: http://www.zfsy.com.cn/uploadFiles/files/20220711164548.pdf However, the complaint mechanism has not been formally documented. |
| | | |
| 8.1 Material Accounting System | Conformance | The Entity has established a CoC Material Mass Balance System and ASI Aluminium Management Procedure and implemented a Business Innovation Platform (BIP) for the Material Accounting System to record the Input Quantity and Output Quantity of Aluminium material by mass. |
| 8.2 Material Accounting Period | Conformance | The Entity's BIP has set a Material Accounting Period of twelve (12) months (i.e. calendar year). |
| 8.3 Input and Inflow Quantities | Conformance | The Entity has established a procedure that defines for each Material Accounting Period to record the Input Quantity of CoC Material and Eligible Scrap and the Inflow of Non-CoC Material and Recyclable Scrap Material. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material shall be based on an assessment of Aluminium content. |
| 8.4 Output Quantities of CoC Material | Conformance | The Entity has established an internal Metal Management System including metal statistics and metal balance of material management reports and a BIP system to manage Inputs and Outputs. Also, the Entity has established a Statistical Management System and methods of calculating statistical indicators. |
| 8.5 Indivisibility of CoC Material | Conformance | The Entity has established a Mass Balance System for CoC Materials, including an ASI Aluminium Management Procedure to define the Output Quantity of CoC Material, which may be a subset of total production and shall be designated as 100% CoC Material. |
| 8.6 Output Quantity of Eligible Scrap | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |

| CRITERION | RATING | COMMENT |
|---|-------------|--|
| 8.7 Consistency Between Input Percentage and Total Output | Conformance | The Entity has established a Mass Balance System to ensure that 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. |
| 8.8a Internal Overdraw (Not exceed 20%) | Conformance | The Entity has established a Mass Balance System for CoC Materials, including an ASI Aluminium Management Procedure that defines that the Internal Overdraw shall 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 for CoC Materials, including an ASI Aluminium Management Procedure that defines how to carry over an Internal Overdraw to the subsequent Material Accounting Period (next calendar year) if it is subject to a Force Majeure situation. The Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure situation. |
| 8.8c Internal Overdraw (Made up within subsequent Material Accounting Period) | Conformance | The Entity has established a Mass Balance System for CoC Materials, including an ASI Aluminium Management Procedure that defines the Internal Overdraw shall be made up within the subsequent Material Accounting Period. It is included the Internal Overdraw shall be made up within the subsequent Material Accounting Period. |
| 8.9a Positive Balance (Carry over) | Conformance | The Entity has established a Mass Balance System for CoC Materials, including an ASI Aluminium Management Procedure that defines the Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried out over to the subsequent Material Accounting Period. The Procedure also specifies that the Entity's Material Accounting System must clearly identify any carry over of a Positive Balance. |
| 8.9b Positive Balance (Expiry) | Conformance | The Entity has established a Mass Balance System for CoC Materials as well as an ASI Aluminium Management Procedure which defines that a Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried out over to the subsequent Material Accounting Period. The procedure specifies that a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down. |
| 9. ISSUING COC DOCUMENTS | | |
| 9.1 CoC Document | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines that a CoC document must accompany each shipment of CoC Material dispatched to other CoC Certificated Entities. Until now, there have been no CoC Material Outputs from the Entity facilities. |
| 9.2a CoC Document Content (Date of issue) | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must include the date of issue. |

| CRITERION | RATING | COMMENT |
|---|----------------|--|
| 9.2b CoC Document Content (Reference number) | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must 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 implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must include the identity, address and CoC Certification number of the Entity. |
| 9.2d CoC Document Content (Receiving customer) | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must include the identity and address of the customer receiving the CoC Material, and if it is another ASI CoC Certified Entity, their CoC Certification number. |
| 9.2e CoC Document Content (Responsible employee) | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must include the signature of the responsible employee of the Entity who can verify information in the CoC Document. |
| 9.2f CoC Document Content (Conformance statement) | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC document information must include the conformance statement. |
| 9.2g CoC Document Content (Type of CoC Material) | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines 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 implemented a CoC Documents Issuing Management Procedure that defines 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 implemented a CoC Documents Issuing Management Procedure that defines the CoC Document must include the mass of total material in the shipment. |
| 9.3a Sustainability Data (optional) - Carbon footprint | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document will include Sustainability Data when applicable. |
| 9.3b Sustainability Data (optional) - Origin information | Conformance | The Entity has implemented a CoC Documents Issuing Management Procedure that defines the CoC Document will include applicable Sustainability Data when applicable. |
| 9.3c Sustainability Data (optional) - Recycled content | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |
| 9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status | Not Applicable | This Criterion is not applicable to the Entity's Certification Scope. |

| CRITERION | RATING | COMMENT |
|---|-------------|--|
| 9.4 Supplementary Information (optional) - Objective evidence | Conformance | The Entity has implemented a procedure that specifies what information is to be added to the CoC Document when additional information is required. |
| 9.5 Verification of Information | Conformance | The Entity has implemented a system to respond to requests from external parties. The Entity has appointed a responsible employee to issue CoC Documents and respond to any reasonable requests for verification of information in CoC Documents issued. |
| 9.6 Error (Shipping) | Conformance | The Entity has established a procedure defining the disposal process (returns, retaining of shipment etc) for any error discovered after the shipment of CoC Material. Any errors identified by the Entity are promptly reported to the receiving business and remedied by both parties agreeing on the steps to correct them. |
| 10. RECEIVING COC DOCUMENTS | | |
| 10.1 Verification of CoC Documents | Conformance | The Entity has implemented 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 implemented a procedure that stipulates the Production Management Office should verify the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in the Material Accounting System. |
| 10.3 Verification of Supplier's ASI CoC Certification | Conformance | The Entity has implemented a procedure that stipulates the Production Management Office should check the ASI website quarterly 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 implemented a procedure defining the disposal process (returns, retaining of shipment etc.) for when an error is discovered after CoC Material is received. The Entity and the supplying party will document the error, agree on steps taken to correct it and implement actions to avoid 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 which defines all claims and communications should be made in a manner and form consistent with the ASI Claims Guide. Until now, the Entity has not made any external claim or communication about ASI CoC Certification |
| 11.1b Claims and Communications (Verifiable evidence) | Conformance | The Entity has established an ASI CoC Claim and Communication Management Procedure defines all claims and communications are made in a manner and form consistent with the ASI Claims Guide. |
| 11.1c Claims and Communications (Employee training) | Conformance | Relevant employees have received training to understand and communicate any claims and representations made by the Entity. |

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 | 3 June 2024 | Initial Certification Audit – Full Certification |
