

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Qatar Aluminium Limited (QATALUM)

CERTIFICATE NUMBER

200

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

27 JUNE 2024

DATE OF EXPIRY

26 JUNE 2027

CERTIFIED SINCE

11 APRIL 2022

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', 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](http://www.aluminium-stewardship.org)*

CERTIFICATION SCOPE

Aluminium smelting and casthouse operations for the manufacture of extrusion ingots and primary foundry alloy in Mesaieed Industrial City (MIC), Qatar.

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Qatalum
ENTITY NAME	Qatar Aluminium Limited (QATALUM)
CERTIFICATION SCOPE	Aluminium smelting and casthouse operations for the manufacture of extrusion ingots and primary foundry alloy in Mesaieed Industrial City (MIC), Qatar.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Smelting</li><li>Casthouses</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 (28 November – 16 December 2021)</li><li>Re-Certification Audit and Scope Change (22 – 26 October 2023)</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>28 November – 16 December 2021 (Initial Certification Audit)</li><li>22 – 26 October 2023 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>6 April 2022 (Initial Certification Audit)</li><li>28 May 2024 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (28 November – 16 December 2021)</u></p> <p>The Audit Scope included the smelter and casthouse operations, carbon plant, power plant, port and storage facilities and Head Office functions such as human resources, supply chain, health and safety, security, environment and sustainability, emergency/ fire, marketing and sales, internal audit, medical first aid, finance and legal.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Smelting</li><li>Casthouses</li></ul> <p>All applicable Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p> <p><u>Re-Certification Audit and Scope Change (22 – 26 October 2023)</u></p> <p>The Audit Scope included the Head Office functions and smelting and casthouse operations for the manufacture of extrusion ingots and primary foundry alloy.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Smelting</li><li>Casthouses</li></ul> <p>All applicable Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p>

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AUDIT OUTCOME Certification

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AUDIT METHODOLOGY  
DECLARATION

The Auditors confirm that:

- ☑ The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.
  - ☑ The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
  - ☑ The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
  - ☑ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
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CERTIFICATION PERIOD 27 June 2024 – 26 June 2027

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DUE DATE 26 December 2025

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CERTIFICATE NUMBER 200

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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

Qatalum (the 'Entity') operates an Aluminium Smelter in Mesaieed Industrial City, Qatar, approximately 40 kilometres south of Doha. The facilities at the Entity include a carbon plant, a reduction plant, a Casthouse, port and storage facilities as well as a captive power plant. Qatalum produces more than 650,000 tonnes of high-quality Primary Aluminium Products per annum. The operations commenced in 2009. The Potline and Rectifier is 1.2 km in length, there are 704 pots in total, 352 cells in two pot lined potrooms and 14 pot tending machines.

The market for the Entity's Extrusion Ingots includes Asia, Europe/Türkiye and the US, which are converted into residential and commercial building and construction products mainly door and window frames, curtain walling, and some automotive applications in HVAC systems, crush systems and battery pack cells. The market for the Entity's Primary Foundry alloys is similar and mainly used for alloy wheel production and other automotive applications.

The Entity is currently implementing an Electrolysis Process Optimisation Project to increase Aluminium production at the plant. Beyond the routine relining of pots, and with the possible exception of its rectifiers, no other modifications are required to the plant to achieve this production increase. There is no change to the layout of the plant.

## 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>	Medium
<b>RISKS</b>	Medium
<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 has been an ASI Member (Production and Transformation) since September 2021.  <a href="https://aluminium-stewardship.org/about-asi/asi-members/qatalum/">https://aluminium-stewardship.org/about-asi/asi-members/qatalum/</a>
1.2 CoC Management System	Conformance	The Entity has established a CoC Management System that adequately and appropriately addresses all applicable requirements of the ASI Chain of Custody Standard.
1.3 CoC Management System Monitoring	Conformance	The Entity has defined the requirement to conduct the review of effectiveness of their CoC Management System on a biannual basis.
1.4 Management Representative	Conformance	Approved by the Entity's CEO, the Marketing and Sales Manager has nominated the Head of Sales as the Management representative with overall responsibility and authority for the Entity's Conformance with all applicable requirements of the ASI Chain of Custody Standard.
1.5 Communications and Training	Conformance	The Entity has established a training module on ASI Chain of Custody Standard requirements and conducted training for relevant employees to make them aware of, and to be competent in their responsibilities.
1.6 Records Management	Conformance	The Entity has specified the requirement for the maintenance of records in the Material Accounting and Documentation Procedure and has specified to retain them for a period of five (5) years. Personnel responsible to maintain these records have been informed of this requirement.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity has specified the requirement to report its Aluminium Stewardship Initiative (ASI) performance within three months after the end of each calendar year.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has specified the requirement to report to the ASI Secretariat within three months after the end of each calendar year including the information related to Input Quantity of Eligible Scrap, with a breakdown by Post-Consumer Scrap and Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity, in the calendar year.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has specified the requirement to report to the ASI Secretariat within three months after the end of each calendar year including the information related to total Inflow and Outflow Quantities of any Non-CoC Material/s, in the calendar year.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has specified the requirement to report to the ASI Secretariat within three months after the end of each calendar year including the information related to the maximum Positive Balance in the calendar year carried over to the subsequent Material Accounting Period.

CRITERION	RATING	COMMENT
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has specified the requirement to report to the ASI Secretariat within three months after the end of each calendar year. An interview was conducted with the employee who has been assigned the responsibility to report to ASI and this employee was aware about reporting the maximum Positive Balance used in the calendar year, if any.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has specified the requirement to report to the ASI Secretariat within three months after the end of each calendar year including information relating to the maximum Internal Overdraw within the calendar year, if any, and the percentage of Input Quantity of Chain of Custody (CoC) Material this represents.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has specified the requirement to report to the ASI Secretariat within three months after the end of each calendar year including the information related to Intra-Entity Flows within the calendar year, if any.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of an Entity's CoC Material for the purposes of further processing, treatment or manufacturing.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of an Entity's CoC Material for the purposes of further processing, treatment or manufacturing.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of an Entity's CoC Material for the purposes of further processing, treatment or manufacturing.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of an Entity's CoC Material for the purposes of further processing, treatment or manufacturing.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of an Entity's CoC Material for the purposes of further processing, treatment or manufacturing.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of an Entity's CoC Material for the purposes of further processing, treatment or manufacturing.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable, as the Entity does not have any Outsourcing Contractors within the scope that takes custody of an Entity's CoC Material for the purposes of further processing, treatment or manufacturing.

CRITERION	RATING	COMMENT
<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.
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 produces ASI Liquid Metal in its own Smelter which is within the CoC Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Conformance	The Entity produces ASI Liquid Metal in its own Smelter which is Certified against the ASI Performance Standard.
3.3c ASI Aluminium (Alumina sourcing)	Conformance	The Entity sources Alumina directly from facilities that are included in the Certificate Scope of ASI CoC Certified Entities.
<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	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Financial transactions)		
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity produces ASI Casthouse products in its own Casthouse which is within the Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity produces ASI Casthouse products in its own Casthouse which is Certified against the ASI Performance Standard.
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	Products originating from the Entity's Casthouse are produced only from Aluminium originating from within Entity's own reduction plant, which is included in the ASI Performance Standard Certification Scope.
5.2 Unique Identification	Conformance	The Entity has a system to identify its Casthouse Products through a unique identification number which includes year of production. This number is either physically stamped on Casthouse Products or printed on the labels which are placed on ingot bundles. This identification number is linked to the Input Quantity of CoC Material for that Material Accounting Period as per the Entity's CoC Management System.
<b>6. POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM</b>		
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.
<b>7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL</b>		
7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has documented its Supplier Code of Conduct, which addresses anti-Corruption. The Supplier Code of Conduct is communicated to suppliers of Non-CoC Material and Recyclable Scrap and must be accepted and signed before any transfer of Material occurs.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has documented its Supplier Code of Conduct, which is communicated and signed off by suppliers of Non-CoC Material and Recyclable Scrap Material. The Entity has implemented a Responsible Sourcing Policy in line with its Supplier Code of Conduct:  <a href="https://eprocurement.qatalum.com/Suppliers/Documents/Qatalum%20Supplier%20Code%20of%20Conduct.pdf">https://eprocurement.qatalum.com/Suppliers/Documents/Qatalum%20Supplier%20Code%20of%20Conduct.pdf</a>



CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human Rights Due Diligence)	Conformance	The Entity has documented its Supplier Code of Conduct, which addresses working conditions. The Supplier Code of Conduct is communicated to suppliers of Non-CoC Material and Recyclable Scrap and accepted by them and signed. The Entity has established and implemented a Corporate Social Responsibility (CSR) Directive which is supported well with Human Resource (HR) Policy, Supply Chain Directive, Supplier Code of Conduct and supporting documents in terms of implementation of processes needed to protect Human Rights.
7.1d Responsible Sourcing Policy (Conflict-Affected and High-Risk Areas)	Conformance	The Entity has established a Supplier Code of Conduct, which is mandatory for all suppliers. The Entity has also established a Code of Conduct and Sponsorship Donation and Supply Chain directives which are well communicated and implemented to prevent contributing to armed conflict or Human Rights abuses in Conflict-Affected and High-Risk Areas either directly or through the supply chain.
7.2 Risk Assessment and Mitigation	Conformance	<p>With support from an external agency that specialises in assessment of supply chains, the Entity is in the process of a full supply chain mapping, materiality and risk assessment to complete the full assessment of the key risks in its supply chain.</p> <p>The assessment is fully aligned with the key risks as identified by the Entity and Hydro, OECD guidelines, ASI Performance Standard V3 and other relevant industry initiatives and standards. It will provide an initial view on the severity and likelihood of these risks occurring and whether the Entity is likely to be linked to, causing or contributing to them.</p> <p>The results of the analysis will be used to develop an initial risk-based prioritisation that includes the identification of 'high risk' suppliers. Both the Entity's and Hydro's responsible sourcing teams will manage this process.</p>
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity has established a whistleblowing policy for its Stakeholders, which is appropriate to the nature and scale of the Entity's business. Any Stakeholder in the Aluminium supply chain can raise a complaint regarding any non-compliance to the Entity's Responsible Sourcing Policy. The system is available through the website and intranet which also provides a toll free number and email address for raising complaints.</p> <p>The Entity implements accessible, transparent, understandable and culturally and gender sensitive, Complaints Resolution Mechanisms, adequate to address Stakeholder complaints, grievances and requests for information relating to its operations.</p> <p>Through the Code of Conduct, the Entity has shared the contact information for Stakeholders to report any concerns or complaints (page 7):</p> <p><a href="https://www.qatalum.com/AboutUs/Sustainability/Documents/QTLM_Code%20of%20Conduct%20Booklet%20V3.pdf">https://www.qatalum.com/AboutUs/Sustainability/Documents/QTLM_Code%20of%20Conduct%20Booklet%20V3.pdf</a></p>

## 8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM

CRITERION	RATING	COMMENT
8.1 Material Accounting System	Conformance	The Entity has developed a system that accounts and records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass.
8.2 Material Accounting Period	Conformance	The Entity's CoC Management System has defined that the Entity adopts January to December of each year as the Material Accounting Period.
8.3 Input and Inflow Quantities	Conformance	The Entity has developed a system that accounts and records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass.
8.4 Output Quantities of CoC Material	Conformance	The Entity has developed a system that accounts and records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity has an understanding of, and systems in place for, designating Output Quantity of CoC Material as 100% CoC Material, from the subset of total production.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity, as it does not produce Pre-Consumer Scrap from its processing.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity uses a formula-based Material Accounting System which is updated on a monthly basis within the 12 month accounting period. This ensures that the total Output of CoC Material does not proportionally exceed the Input Percentage as applied to total Input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	Through the Entity's ASI CoC Management System and the Marketing and Sales Department's sourcing and sales planning process, the Entity has an established system that ensures an Internal Overdraw shall not exceed 20% of total Input Quantity of CoC Material for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	Through the Entity's ASI CoC Management System and the Marketing and Sales Department's sourcing and sales planning process, the Entity has established a system that ensures an Internal Overdraw shall not exceed the amount of CoC Material affected by a Force Majeure situation.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	Through the Entity's ASI CoC Management System and the Marketing and Sales Department's sourcing and sales planning process, the Entity has established a system that ensures an Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	Through the Entity's ASI CoC Management System and the Marketing and Sales Department's sourcing and sales planning process, the Entity has established a system that clearly identifies any carryover of a Positive Balance at the end of a Material Accounting Period, if any.
8.9b Positive Balance (Expiry)	Conformance	Through the Entity's ASI CoC Management System and the Marketing and Sales Department's sourcing and sales planning process, the Entity has established a system that ensures any Positive Balance

CRITERION	RATING	COMMENT
		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.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity has defined the requirement in their ASI CoC Management System for a CoC Document to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Outsourcing Contractors.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has a documented CoC Document which references the date of issue of the CoC Document.
9.2b CoC Document Content (Reference number)	Conformance	The Entity has a documented CoC Document which references the date of issue of the CoC Document. This is linked to the Entity's CoC Management System and Material Accounting System for verification purposes.
9.2c CoC Document Content (issuing Entity)	Conformance	The Entity has a documented format for the CoC Document which includes the details of the name and address of the Entity and the CoC Certification number.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity has a documented format for the CoC Document which includes the details of the name and address of the customer receiving the CoC Material and their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity has a documented format for the CoC Document which includes the name of the responsible employee of the Entity who verifies information in the CoC Document. The responsible employee/s is/are yet to be nominated.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity has a documented format for the CoC Document which includes a statement confirming that "The information provided in the CoC Document is in conformance with the ASI CoC Standard."
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity has a documented format for the CoC Document which includes the type of CoC Material in the shipment. The type of CoC Material includes ASI Alumina, ASI Liquid Metal and ASI Aluminium.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity has a documented format for the CoC Document which includes the information regarding the mass of the CoC Material and its unit.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity has a documented format for the CoC Document which includes the information on the total weight of material and its unit of measurement.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity has provision in the CoC Document to include optional information on the Product Carbon Footprint, if requested by the customer.

CRITERION	RATING	COMMENT
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity has provision in the CoC Document to include optional information on product origin, if requested by the customer.
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.
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity has decided to provide Supplementary Information in the CoC Document.
9.5 Verification of Information	Conformance	The Entity has a CoC Management System that includes responding to requests for verification of information in CoC Documents issued by the Entity.
9.6 Error (Shipping)	Conformance	Through the Entity's CoC Management System and regular meetings to review the system, the Entity has ensured that any error that is discovered after CoC Material has been shipped will be documented by both the Entity and the receiving party. Corrective actions to avoid a recurrence will also be implemented and agreed on by relevant parties.

## 10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has established a CoC Management System and has trained personnel on the requirement to verify the information in CoC Documents received from other CoC Certified Entities.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established a CoC Management System and has trained personnel on the requirement to verify the information in CoC Documents received from other CoC Certified Entities.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has regularly monitored the ASI website to verify the validity and scope of its suppliers' ASI CoC Certification and monitor any changes that could affect the status of the CoC Material/Eligible Scrap supplied.
10.4 Error (Reception)	Conformance	<p>The Entity has implemented a certified Quality Management System which addresses the requirement for verification of all products and services supplied by suppliers, in case of any non-conformance the same is addressed under clauses related to non-conformance and corrective actions.</p> <p>Through the Entity's CoC Management System, the Entity ensures that any error that is discovered after CoC Material has been received will be documented by both the Entity and the supplying party. Corrective actions to avoid a recurrence will also be implemented and agreed on by relevant parties.</p>

CRITERION	RATING	COMMENT
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity is currently finalising all necessary documentation and procedures that are compliant to the ASI CoC Claims Guidelines, and conducting training programs in anticipation of upcoming initial CoC Material transactions.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity is currently finalising all necessary documentation and procedures that are compliant to the ASI CoC Claims Guidelines, and conducting training programs in anticipation of upcoming initial CoC Material transactions.
11.1c Claims and Communications (Employee training)	Conformance	The Entity is currently finalising all necessary documentation and procedures that are compliant to the ASI CoC Claims Guidelines, and conducting training programs in anticipation of upcoming initial CoC Material transactions.

#### 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	9 March 2022	Initial Certification Audit – Full Certification
1	3 July 2024	Re-Certification Audit and Scope Change – Full Certification Scope Change to apply CoC Standard V2.