

ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

XIAMEN XIASHUN ALUMINIUM FOIL CO., LTD.

CERTIFICATE
NUMBER

43

ASI
STANDARD

CHAIN OF CUSTODY
(V1 2017)

CERTIFICATION
LEVEL

FULL
CERTIFICATION

ASI ACCREDITED
AUDITOR

DNV BUSINESS
ASSURANCE
SERVICES UK
LTD.

DATE OF ISSUE

16 AUGUST 2022

DATE OF EXPIRY

15 AUGUST 2025

CERTIFIED SINCE

16 AUGUST 2019

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', written over a white background.

Aluminium Stewardship Initiative Ltd
ACN 606 661 125, Australia
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*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

Xiashun manufactures and sells Foil Stock, Lithographic and Closure sheets and ultra-thin aluminium foil for Food and Beverage Packaging and Lithium Battery. The main processes include remelting and casting, hot rolling, cold rolling, finishing, foil rolling and foil finishing. Xiashun's Headquarters and production facilities (Sheet Plant, Haicang Foil Plant, Huli Foil Plant) are located in Fujian, China.

SUMMARY AUDIT REPORT

CHAIN OF CUSTODY

STANDARD

OVERVIEW

MEMBER NAME	Xiamen Xiashun Aluminium Foil Co., Ltd.
ENTITY NAME	Xiamen Xiashun Aluminium Foil Co., Ltd.
CERTIFICATION SCOPE	<p>Xiashun manufactures and sells Foil Stock, Lithographic and Closure sheets and ultra-thin aluminium foil for Food and Beverage Packaging and Lithium Battery. The main processes include remelting and casting, hot rolling, cold rolling, finishing, foil rolling and foil finishing. Xiashun's Headquarters and production facilities (Sheet Plant, Haicang Foil Plant, Huli Foil Plant) are located in Fujian, China.</p>
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none">• Aluminium Re-melting/Refining• Casthouses• Post-Casthouse
ASI STANDARD	<ul style="list-style-type: none">• Chain of Custody Standard V1
AUDIT TYPE	<ul style="list-style-type: none">• Initial Certification Audit (22 – 24 July 2019)• Surveillance Audit (9 – 12 August 2021)• Re-Certification Audit (16 – 18 May 2022)• Surveillance Audit (24 May 2024)
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none">• 22 – 24 July 2019 (Initial Certification Audit)• 9 – 12 August 2021 (Surveillance Audit)• 16 – 18 May 2022 (Re-Certification Audit)• 24 May 2024 (Surveillance Audit)
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none">• 30 July 2019 (Initial Certification Audit)• 28 September 2021 (Surveillance Audit)• 02 July 2022 (Re-Certification Audit)• 13 June 2024 (Surveillance Audit)

Initial Certification Audit (22 – 24 July 2019)

Remelting, casting, hot rolling, cold rolling and finishing (foilstock, litho stock (CTP), capstock) and foil rolling and finishing (light-gauge aluminium foil that is less than 10µm and lithium battery foil) at the Head Office, Haicang Foil Plant, Huli Foil Plant, and Sheet Plant.

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.

Surveillance Audit (9 – 12 August 2021)

The audit scope included the remelting, casting, hot rolling, cold rolling, finishing (foilstock, litho stock (CTP), capstock) and foil rolling and finishing (light-gauge aluminium foil that is less than 10µm and lithium battery foil) at the Head Office, Haicang Foil Plant, Huli Foil Plant, and Sheet Plant.

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.

Re-Certification Audit (16 – 18 May 2022)

The audit scope covers the manufacture and sale of Foil Stock, Lithographic and Closure sheets, ultra-thin aluminium foil for Food and Beverage Packaging and Lithium Battery. The main processes include remelting and casting, hot rolling, cold rolling, finishing, foil rolling and foil finishing. The facilities include Headquarters and the production sites Sheet Plant, Haicang Foil Plant and Huli Foil Plant.

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

Relevant criteria from the ASI Chain of Custody Standard were included in the audit scope.

Surveillance Audit (24 May 2024)

The audit scope covers the manufacture and sale of Foil Stock, Lithographic and Closure sheets, ultra-thin aluminum foil for Food and Beverage Packaging and Lithium Battery. The main processes include remelting and casting, hot rolling, cold rolling, finishing, foil rolling and foil finishing. The

facilities include Headquarters and the production sites Sheet Plant, Haicang Foil Plant and Huli Foil Plant.

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- Post-Casthouse

All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.

AUDIT
OUTCOME

- Certification

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.

CERTIFICATION
PERIOD

16 August 2022 – 15 August 2025

NEXT AUDIT
TYPE

Re-Certification Audit

NEXT AUDIT
DUE DATE

15 August 2025

CERTIFICATION
NUMBER

43

SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an ASI Member (Production and Transformation) committed to comply with ASI's membership obligations and the ASI Complaints Mechanism. The Entity holds an ASI Performance Standard Certification. The Entity's membership status is available at: https://aluminium-stewardship.org/about-asi/members/Xiamen-Xiashun-Aluminium-Foil-Co---Ltd
1.2 Management system	Conformance	The Entity establishes Policies, systems, procedures and processes in accordance with the ASI Chain of Custody Standard Criteria regarding a Management System. The Management System has the capacity to handle CoC Materials. The Entity has an integrated Management System based on ISO 9001. The Entity's ISO 9001 certificate was issued by an accreditation body and is valid for the Certification Period.
1.3 Management system reviews	Conformance	The Entity has established mechanisms for the periodic review of the Management System in line with their ISO 9001 certification. The last management review was conducted in March 2024.
1.4 Management representative	Conformance	The Entity has appointed a member of management as the responsible person for the ASI Chain of Custody Standard implementation and has defined the roles and responsibilities to manage the Chain of Custody system.
1.5 Training	Conformance	The Entity has delivered training courses to relevant personnel to raise awareness of the ASI Chain of Custody Standard requirements and ensure competence in implementing the associated processes.
1.6 Record keeping	Conformance	The Entity maintains up-to-date records (Management System) covering all applicable requirements of the ASI Chain of Custody Standard. The Entity's record management procedure defines the retention time in accordance with the requirement in the ASI Chain of Custody Standard.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has reported the Input and Output Quantities of CoC Materials in the calendar year of

CRITERION	RATING	COMMENT
		2023 to the ASI Secretariat within the required timeframe.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has reported the Input Percentage calculated for the previous calendar year (2023) to the ASI Secretariat within the required timeframe.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has reported the data on the maximum Positive Balance in the 2023 calendar year carried over to the 2024 Material Accounting Period to the ASI Secretariat.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity's Chain of Custody (CoC) Management Procedure specifies that the Entity shall report required information on CoC Material to the ASI Secretariat within three months after the end of each calendar year. In 2023, there was no Internal Overdraw in the Entity's Certification Scope.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity has reported the data on total Input Quantities of Eligible Scrap to the ASI Secretariat within the required time frame.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	The Entity did not allocate any ASI Aluminium to ASI Credits in the calendar year of 2023.
1.7g Reporting to ASI (ASI Credits purchased)	Conformance	The Entity does not plan to purchase ASI Credits.
2 OUTSOURCING CONTRACTORS		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.2a Control of CoC Material	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.2b No further outsourcing	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.2c Risk assessment	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.3 Output Quantity	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.4 Verification and record-keeping	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.
2.5 Error management	Not Applicable	The Criterion is not applicable as the Entity does not have any Outsourcing Contractors.

CRITERION	RATING	COMMENT
3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL		
3.1a CoC Certification Scope – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Performance Standard – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a CoC Certification Scope – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL		
4.1a CoC Certification Scope – Aluminium Re-Melting/Refining	Conformance	Liquid Metal is produced at the Entity's wholly owned Sheet Plant which is included in the Entity's ASI CoC Certification Scope.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	Liquid Metal is produced at the Entity's wholly owned Sheet Plant which is included in the Entity's ASI Performance Standard Certification Scope. https://aluminium-stewardship.org/about-asi/members/Xiamen-Xiashun-Aluminium-Foil-Co---Ltd
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity's Material Accounting System is designed to control and account for Eligible Scrap coming into the value chain. Pre-Consumer Scrap designated as CoC Material is supplied directly from the Entity's wholly owned Sheet Plant and Foil Plant, which are included in the Entity's CoC Certification Scope.
4.2b Post-Consumer Scrap	Conformance	The Entity's CoC Management Procedure defines Eligible Scrap in the Material Accounting System as only: 'Post-Consumer Scrap that is subject to supplier due diligence as per section 7 and is assessed to be post-consumer in origin'. Currently, the Entity purchases Post-Consumer Scrap but this is not classified as Eligible Scrap.
4.3a Supplier records	Conformance	The identity, principals and place/s of operation of all direct suppliers of Recyclable Scrap Materials are recorded in the Entity's SAP system.

CRITERION	RATING	COMMENT
4.3b Cash payments	Not Applicable	The Criterion is not applicable to the Entity, as cash payments are strictly prohibited.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope – Casthouses	Conformance	The observed system ensures the production of ASI Aluminium is only from the Casthouse within the Entity's CoC Certification Scope.
5.1b ASI Performance Standard – Casthouses	Conformance	The observed system ensures the production of ASI Aluminium only from Casthouses certified against the ASI Performance Standard. https://aluminium-stewardship.org/about-asi/members/Xiamen-Xiashun-Aluminium-Foil-Co---Ltd
5.2 Casthouse Products	Conformance	The Entity has an accounting system to ensure that unique identification numbers can be linked and trace the Input Quantity of CoC Material.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope – Post-Casthouse	Conformance	The observed system ensures the production of ASI Aluminium is only from the Post-Casthouse within the Entity's CoC Certification Scope.
6.1b ASI Performance Standard – Post-Casthouse	Conformance	The observed system ensures the production of ASI Aluminium only from Post-Casthouse Facilities certified against the ASI Performance Standard. https://aluminium-stewardship.org/about-asi/members/Xiamen-Xiashun-Aluminium-Foil-Co---Ltd
6.1c Sourcing ASI Aluminium	Conformance	The Entity has a system to ensure that it produces ASI Aluminium only from the Entity, which is certified against the ASI Chain of Custody Standard.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has developed a Supplier Code of Conduct which addresses anti-Corruption. The Code of Conduct is communicated to all suppliers, and suppliers have signed the commitment letter to comply with the Code. The Supplier Code of Conduct is available on the website: https://www.xiashun.com/public/attachment/images/20220523/99d5001598bb061e8d80551ef56a456c.pdf
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has established a supplier responsible sourcing framework. The Responsible Purchasing Policy is published on the website:

CRITERION	RATING	COMMENT
		https://www.xiashun.com/public/attachment/images/20240208/6bb86d94195511effc0eb82a1d682aae.pdf
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has established a supplier responsible sourcing framework including Human Rights Due Diligence. The Supplier Code of Conduct is published on the website: https://www.xiashun.com/public/attachment/images/20240208/6bb86d94195511effc0eb82a1d682aae.pdf
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has established a supplier responsible sourcing framework including an assessment of Conflict-Affected and High-Risk Areas. The Supplier Code of Conduct is published on the website: https://www.xiashun.com/public/attachment/images/20240208/6bb86d94195511effc0eb82a1d682aae.pdf
7.2 Risk assessment	Conformance	The Entity assesses the risks of non-compliance with its Responsible Sourcing Policy by its suppliers of Non-CoC Materials and Recyclable Scrap Material, documents the findings and undertakes measurable risk mitigation where risks of adverse impacts are identified.
7.3 Complaints mechanism	Conformance	The Entity has established a Complaints Mechanism allowing concerns to be raised through different channels, such as the company website: https://www.xiashun.com/public/attachment/images/20240208/6bb86d94195511effc0eb82a1d682aae.pdf
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Material Accounting System that can record the Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass.
8.2a Post-Consumer Scrap	Conformance	The Entity currently purchases Post-Consumer Scrap but this is not classified as Eligible Scrap. The data in the Mass Balance System demonstrates it.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has established a Material Accounting System that can record the Input Quantity of the Pre-Consumer Scrap by mass. To date, no Pre-Consumer Scrap has been allocated as CoC Material.

CRITERION	RATING	COMMENT
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The quantity of the Eligible Scrap generated by its manufacturing processes will be recorded in the Material Accounting System. To date, no process scrap has been allocated as Eligible Scrap.
8.3 Material Accounting Period	Conformance	The Material Accounting Period is defined as 12 months, a calendar year.
8.4 Input Percentage	Conformance	The Entity has established processes to calculate and record the Input Percentage in accordance with the ASI Chain of Custody Standard. The percentage calculation was confirmed correct.
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The Entity has established processes to calculate and record the Input Percentage of Aluminium Re-Melting/Refining in accordance with the ASI Chain of Custody Standard. The percentage calculation was confirmed correct.
8.6 Output Quantity determination	Conformance	The Entity has established a Material Accounting System in accordance with ASI Chain of Custody requirements to determine the Output Quantity. The Output Quantity determination was confirmed correct.
8.7 Output Quantity designation	Conformance	The Entity has established a Material Accounting System in accordance with ASI Chain of Custody requirements to designate the Output Quantity of CoC Material. The Output Quantity of CoC Material is designated as 100% CoC Material.
8.8 Output Quantity – Pre-Consumer Scrap	Conformance	The Entity has established a Material Accounting System in accordance with the ASI Chain of Custody requirements to designate the Output Quantity of Pre-Consumer Scrap. To date, there has been no Eligible Scrap used in the Entity.
8.9 Outputs not exceed inputs	Conformance	The Entity has established a Material Accounting System developed to have frequently updated information on inventory balance. To date, there has been no case of Outputs exceeding Inputs.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established a Material Accounting System in accordance with the ASI Chain of Custody Standard requirements. To date, there has been no Internal Overdraw.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has established a Material Accounting System in accordance with the ASI Chain of Custody Standard requirements. To date, there has been no Internal Overdraw.

CRITERION	RATING	COMMENT
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has established a Material Accounting System in accordance with ASI Chain of Custody Standard requirements. To date, there has been no Internal Overdraw.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a Material Accounting System in accordance with ASI Chain of Custody Standard requirements. The Positive Balance in the 2023 calendar year was carried over to the 2024 calendar year.
8.11b Positive Balance (expiry)	Conformance	The Entity has established a Material Accounting System in accordance with ASI Chain of Custody Standard requirements. The Positive Balance in the calendar year of 2023 was carried over to the calendar year of 2024.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has a system that can compile the CoC Documents for each shipment and transfer, ensuring that these are controlled, issued and stored according to ASI Chain of Custody Standard requirements. The Entity issues a CoC Document to accompany each shipment of ASI Aluminium.
9.2a Date of issue	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes the date of issue.
9.2b Reference number	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes the reference number: CoC + XS + last two digits of the year + 4-digit series number.
9.2c Issuing Entity	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes Xiamen Xiashun Aluminium Foil Co., Ltd. as the issuing Entity.
9.2d Receiving customer	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes the information of 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 Responsible employee	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes the responsible employee who can verify the information.

CRITERION	RATING	COMMENT
9.2f Conformance statement	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes the statement confirming that “The information provided in the CoC Document is in conformance with the ASI CoC Standard.”.
9.2g Type of CoC Material	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes the types of CoC Material in the shipment.
9.2h Mass of CoC Material	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes the mass of CoC Material.
9.2i Mass of total material	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes the mass of total Material.
9.3a Sustainability Data (optional)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes Sustainability Data. Currently, the data on Greenhouse Gases (GHG) emissions is not required by the customer, so the information is not provided.
9.3b Sustainability Data (passing on)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes Sustainability Data. Currently, the average intensity of GHG emissions (Scopes 1 and 2) of CO ₂ e per metric tonne of ASI Aluminium is not required by the customer, so the information is not provided.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes Sustainability Data. The ASI Performance Standard Certification Status for the Entity is included.
9.4 Supplementary Information (optional)	Conformance	The Entity uses the ASI CoC Document template in the ASI Chain of Custody Standard, which includes a column for Supplementary Information. The Entity can provide Supplementary Information per the requirements from customers.
9.5 Response to verification requests	Conformance	The process and responsibility for responding to requests for verification of information in CoC Documents issued by the Entity is defined in the Entity’s ASI Chain of Custody Management Procedure. To date, there have been no verification requests received.
9.6 Error management	Conformance	The Entity integrates error management with its current processes under ISO 9001 to deal with any

CRITERION	RATING	COMMENT
		errors and prevent recurrence. To date, there have been no errors found or reported after CoC Material has been shipped.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has established the process and responsibility for the verification of the information in received CoC Documents. For the 2023 calendar year, the Entity received CoC Material from the supplier which is certified against the ASI Chain of Custody Standard and received CoC Documents with each shipment. The supplier uses the ASI CoC Document template in the ASI Chain of Custody Standard. The responsible person verifies the required information in the CoC Documents.
10.2 Verify consistency with shipments	Conformance	The Entity has established the process and assigned the responsibility to 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 Verify supplier CoC Certification status	Conformance	The Entity has established processes to ensure suppliers have a valid ASI Chain of Custody Certification and trigger adequate processes if any changes occur to their status. The process is managed by the sourcing and supply department.
10.4 Error management	Conformance	The Entity integrates error management with its current processes under ISO 9001 to document errors, corrective actions and any potential preventive measures. To date, there have been no errors found or reported.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.1c No double counting	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.1d No Positive Balance for ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2a Date of issue	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.

CRITERION	RATING	COMMENT
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.2g Quantity	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3b Material Accounting System – purchasing	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3c Expiry	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3d No re-trading	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3e No allocation to physical products	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This Criterion is not applicable as the Entity does not intend to utilise the ASI Market Credits System.
12 CLAIMS AND COMMUNICATIONS		
12.1a ASI Claims Guide	Conformance	The responsibility of claims and communication is defined, and the process of claims and communication is consistent with the ASI Claims Guide. Currently, the Entity only issues CoC Documents, no other types of claims are made.
12.1b Verifiable evidence	Conformance	The Entity has appointed roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide. Currently, the Entity only issues CoC Documents, no other types of claims are made.

CRITERION	RATING	COMMENT
12.1c Employee training	Conformance	The Entity provides training courses on claims and communication to relevant employees.

Document Control and Version History

Revision	Date	Notes
0	16 August 2019	Initial Certification Audit – Full Certification
1	29 October 2021	Surveillance Audit; Certification Scope revised to update the products and processes and shorten the description of the site locations; Revised the processes listed in the Audit Scope description for the Initial Certification Audit.
2	26 July 2022	Re-Certification Audit – Full Certification Certification Scope updated to more accurately represent the Entity's products and processes.
3	4 July 2024	Surveillance Audit