

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Constantia Teich (Austria)

CERTIFICATE NUMBER

78

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED AUDITING  
FIRM

BUREAU VERITAS  
CERTIFICATION

DATE OF ISSUE

30 JULY 2024

DATE OF EXPIRY

29 JULY 2027

CERTIFIED SINCE

2 MARCH 2022

AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Hall', written over a faint circular stamp.

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

Constantia Teich facility in Austria  
undertakes rolling of Aluminium foil  
to basic and final conversion.

# AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

MEMBER NAME	Constantia Flexibles International GmbH
ENTITY NAME	Constantia Teich (Austria)
CERTIFICATION SCOPE	Constantia Teich facility in Austria undertakes rolling of Aluminium foil to basic and final conversion.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>• Post-Casthouse</li></ul>
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none"><li>• Initial Certification Audit (15 – 16 October 2019)</li><li>• Re-Certification Audit (30 – 31 March 2021)</li><li>• Re-Certification Audit and Scope Change (10 – 12 June 2024)</li></ul>
AUDIT FIRM	Bureau Veritas Certification
AUDIT DATE	<ul style="list-style-type: none"><li>• 15 – 16 October 2019 (Initial Certification Audit)</li><li>• 30 – 31 March 2021 (Re-Certification Audit)</li><li>• 10 – 12 June 2024 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>• 11 February 2020 (Initial Certification Audit)</li><li>• 9 June 2021 (Re-Certification Audit)</li><li>• 15 July 2024 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (15 – 16 October 2019)</u></p> <p>The audit scope included the rolling of Aluminium foil to basic and final conversion at the Constantia Teich facility in Weinburg, Austria</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Post-Casthouse</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 (30 – 31 March 2021)</u></p> <p>The audit scope included the rolling of Aluminium foil to basic and final conversion at the Constantia Teich facility in Weinburg, Austria.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>• Post-Casthouse</li></ul> <p>All applicable criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p>At the time of the audit (March 2021), access to the site was not limited, due to COVID-19 related travel restrictions. The Audit has been undertaken as a 'desktop'</p>

---

exercise, in accordance with ASI Interim Policy regarding Audits, Audit-Related Travel and Coronavirus (v4), and included a remote review of relevant documentation.

Re-Certification Audit and Scope Change (10 – 12 June 2024)

The audit scope included the rolling of Aluminium foil to basic and final conversion at the Constantia Teich facility in Weinburg, Austria.

Supply chain activities included in the audit scope:

- Post-Casthouse

All applicable 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 30 July 2024 - 29 July 2027

---

NEXT AUDIT TYPE Re-Certification Audit

---

NEXT AUDIT DUE DATE 29 July 2027

---

CERTIFICATE NUMBER 78

---



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

Constantia Teich Austria (the 'Entity') commenced operation in 1912 and is the largest company within the European flexible packaging industry, and has the highest sales of the Constantia Flexibles Group.

The Entity employs 1,011 Workers (including employees and contractors) and is the largest employer in the Pielach valley in Lower Austria, about 60 km west of Vienna. The Facility features 144 manufacturing lines for various processes including rolling Aluminium foil, lacquering, laminating, printing, extrusion coating, slitting, embossing, deep-drawing, and die-cutting. The Entity supplies Aluminium foil (input stock) to the domestic and international market (85% in the European market, 11% in the American market, and 4% across Asia, Africa, and Australia) as well as the Group companies for use in the food and pharmaceutical industries. Annual production is over 68,400 tonnes. They cover the entire value creation chain for internal production of flexible packaging materials – from the rolling and printing to final production.

The Facility's building footprint covers 58,000 square metres and ancillary infrastructure includes a water-driven energy plant and carpark. Construction activities are currently underway to increase the capacity. The nearest sensitive receptors are the Pielach River in the Natura 2000 area and a rural environment with three neighbouring farmers.

## 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>	High
<b>PERFORMANCE</b>	High
<b>OVERALL</b>	<b>HIGH</b>

## FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	<p>Constantia Flexibles is a founding Member of the Aluminium Stewardship Initiative and is a Member in the production and transformation class. It communicates its status on the Constantia Flexibles website: <a href="https://www.cflex.com/responsibility/social-responsibility/responsible-ethical-sourcing">https://www.cflex.com/responsibility/social-responsibility/responsible-ethical-sourcing</a></p> <p>The Entity's Certification Status is also available on the ASI website: <a href="https://aluminium-stewardship.org/about-asi/asi-members/constantia-flexibles-international-gmbh">https://aluminium-stewardship.org/about-asi/asi-members/constantia-flexibles-international-gmbh</a></p>
1.2 CoC Management System	Conformance	<p>The Entity has a well-established Integrated Management System. The site is certified against ISO 9001, ISO 14001, ISO 45001, BRC, FSC, Kosher, Halal and other standards: <a href="https://www.cflex.com/about-us/quality">https://www.cflex.com/about-us/quality</a></p> <p>ASI requirements are covered by the existing Management Systems and additional Policies and procedures.</p>
1.3 CoC Management System Monitoring	Conformance	<p>The Entity conducts annual management reviews for its Management Systems. The ASI requirements are included in the management review and reviewed annually.</p>
1.4 Management Representative	Conformance	<p>The Entity's Head of Quality Management is the Management Representative for ASI. The role is supported by the Constantia headquarters and local staff in implementing the ASI requirements.</p>
1.5 Communications and Training	Conformance	<p>All employees must participate in annual e-learnings on environment and energy topics. Information about the ASI requirements are included in this training, and relevant staff are additionally trained on the ASI requirements through process instructions.</p>
1.6 Records Management	Conformance	<p>The Entity complies with the legal requirements on the retention time of documents, this includes the five years required by the ASI Chain of Custody Standard.</p>
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Minor Non-Conformance	<p>The Entity has defined in its process instructions that the reporting of CoC Material has to be submitted to ASI within the first three months of the following year.</p> <p>However, whilst the Entity's reporting procedure states that the report should be sent before 30 June of the year following the reporting year, the Entity had not submitted the 2023 report prior to this date.</p>
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	<p>This Criterion is not applicable to the Entity, as it is not engaged in Aluminium Re-melting/Refining to produce Recycled Aluminium.</p>
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	<p>The Entity's Mass Balance System is implemented, and reporting is documented in the ASI reporting procedure. The Entity has reported all obligatory information, including Inflow and Outflow of Non-CoC Material.</p>

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity has defined the requirements for reporting in its ASI reporting procedure and has reported all obligatory information, including any Positive Balance carried over.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity has defined the requirements for reporting in its ASI reporting procedure and has reported all obligatory information, including any Positive Balance used.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity has defined the requirements for reporting in its ASI reporting procedure and has reported all obligatory information, including any Internal Overdraw of the positive Material balance, if applicable.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity has work instructions for managing the mass balance to track the quantities of Material transferred between activities in the supply chain during the calendar year. The Entity has defined the requirements for reporting in its ASI reporting procedure.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.4 Consistency in Inflow and Outflow Quantity of CoC Material to/from Outsourcing Contractor	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable to the Entity, as it does not have outsourcing activities.

## 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)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3c ASI Aluminium (Alumina sourcing)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### 4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP

4.1a Recycled Aluminium (CoC Certification Scope)	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.

#### 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.
--	----------------	---

CRITERION	RATING	COMMENT
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)	Conformance	The Entity has established a system designed to ensure that it produces Aluminium Products only from the Facility that is within this CoC Certification Scope.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has been certified against the ASI Performance Standard since May 2018: <a href="https://aluminium-stewardship.org/about-asi/members/Constantia-Flexibles-International-GmbH">https://aluminium-stewardship.org/about-asi/members/Constantia-Flexibles-International-GmbH</a>
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has implemented a system to ensure that all ASI Aluminium and ASI-containing materials purchased from the supplier are assigned a special material code. ASI materials can be identified and tracked from the supplier to the factory until shipment.

#### 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	The Entity communicates its commitment regarding anti-Corruption, and fair business practices in its Code of Conduct, which must be accepted by all suppliers and subcontractors. The Code is available on the website: <a href="https://www.cflex.com/quality/code-of-conduct">https://www.cflex.com/quality/code-of-conduct</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity communicates its commitment to responsible sourcing in its Code of Conduct, which must be accepted by all suppliers and subcontractors, and the Entity asks its suppliers to communicate any issues they become aware of. The Human Slavery and Trafficking Statement demonstrates their commitment to the UK Modern Slavery Act of 2015. The Code and the Statement are available at: <a href="https://www.cflex.com/quality/code-of-conduct">https://www.cflex.com/quality/code-of-conduct</a>  Responsible Sourcing Policy: <a href="https://www.cflex.com/sustainability/corporate-sustainability/cflex?tx_dwboilerplate_cflex%5Baction%5D=download&amp;tx_dwboilerplate_cflex%5Bcontroller%5D=Cflex&amp;tx_dwboilerplate_cflex%5Bfile%5D=1515&amp;cHash=2fc052d571f246766aaf7930426dc245">https://www.cflex.com/sustainability/corporate-sustainability/cflex?tx_dwboilerplate_cflex%5Baction%5D=download&amp;tx_dwboilerplate_cflex%5Bcontroller%5D=Cflex&amp;tx_dwboilerplate_cflex%5Bfile%5D=1515&amp;cHash=2fc052d571f246766aaf7930426dc245</a>
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity communicates its commitment to responsible sourcing in its Code of Conduct, which must be accepted by all suppliers and subcontractors, and the Entity requests them to respect the internationally proclaimed Human Rights. The Entity can audit its suppliers at any time to check their compliance with the requirements of the Code of Conduct: <a href="https://www.cflex.com/quality/code-of-conduct">https://www.cflex.com/quality/code-of-conduct</a>  The Entity endorses the ethical standards represented by SEDEX (Supplier Ethical Data Exchange): <a href="https://www.cflex.com/sustainability/corporate-">https://www.cflex.com/sustainability/corporate-</a>



CRITERION	RATING	COMMENT
		<a href="https://www.cfex.com/sustainability/cfex?tx_dwboilerplate_cfex%5Baction%5D=download&amp;tx_dwboilerplate_cfex%5Bcontroller%5D=Cfex&amp;tx_dwboilerplate_cfex%5Bfile%5D=I515&amp;cHash=2fc052d571f246766aaf7930426dc245">sustainability/cfex?tx_dwboilerplate_cfex%5Baction%5D=download&amp;tx_dwboilerplate_cfex%5Bcontroller%5D=Cfex&amp;tx_dwboilerplate_cfex%5Bfile%5D=I515&amp;cHash=2fc052d571f246766aaf7930426dc245</a>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	<p>The Entity communicates its commitment to responsible sourcing in its Code of Conduct: <a href="https://www.cfex.com/quality/code-of-conduct">https://www.cfex.com/quality/code-of-conduct</a></p> <p>The Entity requests its suppliers to respect the internationally proclaimed Human Rights, and the Code must be accepted by all suppliers and subcontractors. The Entity encourages its first-tier suppliers to join SEDEX, as outlined in the Ethical Sourcing Policy, 'Conflict free materials and supply chain' section: <a href="https://www.cfex.com/sustainability/corporate-sustainability/cfex?tx_dwboilerplate_cfex%5Baction%5D=download&amp;tx_dwboilerplate_cfex%5Bcontroller%5D=Cfex&amp;tx_dwboilerplate_cfex%5Bfile%5D=I515&amp;cHash=2fc052d571f246766aaf7930426dc245">https://www.cfex.com/sustainability/corporate-sustainability/cfex?tx_dwboilerplate_cfex%5Baction%5D=download&amp;tx_dwboilerplate_cfex%5Bcontroller%5D=Cfex&amp;tx_dwboilerplate_cfex%5Bfile%5D=I515&amp;cHash=2fc052d571f246766aaf7930426dc245</a></p>
7.2 Risk Assessment and Mitigation	Conformance	The Entity has established a Code of Conduct for Suppliers, including a risk assessment and qualification process for all new suppliers. If there is any doubt about the risk, a supplier audit is conducted.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has a Code of Conduct and a specific Code of Conduct for Suppliers, both of which are published on the website. A whistleblowing hotline is included in the Codes and encourages its suppliers and interested Stakeholders to report incidents, non-compliance with the Codes or other incidents that might harm the business: <a href="https://www.cfex.com/quality/code-of-conduct">https://www.cfex.com/quality/code-of-conduct</a>
<b>8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	The Entity's Management System includes a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass. The Material Accounting System is based in the Entity's enterprise-resource-planning system.
8.2 Material Accounting Period	Conformance	The Entity's accounting period is fixed as one year and is reported on during the ASI management review. If necessary, the CoC Material balance could be calculated for any other period.
8.3 Input and Inflow Quantities	Conformance	The Entity has established a system for identifying and marking of CoC Material, which allows it to identify all Input and Output CoC Material along the material flow.
8.4 Output Quantities of CoC Material	Conformance	The Entity has established a system for identifying and marking of CoC Material. Not only is it possible to identify all Input and Output Material along the CoC Material flow.
8.5 Indivisibility of CoC Material	Conformance	The Entity only produces CoC Material. Therefore, it can classify its Output Quantity as 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable to the Entity, as process scrap is pressed and sold to an authorized scrap dealer.

CRITERION	RATING	COMMENT
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity only produces CoC Material for the ASI orders of its clients and collects the scrap from ASI production accordingly. There is no risk that the Output of CoC Material and/or Eligible Scrap exceeds the Input of CoC Material.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity has defined in its ASI procedure, that in the case of a Force Majeure situation, the Material Accounting System can carry over an Internal Overdraw of up to 20% of the total Input Quantity of CoC Material to the subsequent accounting period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity has defined in its ASI procedure, that in the case of a Force Majeure situation, the Material Accounting System can carry over an Internal Overdraw to the subsequent accounting period. The amount of Overdraw must not exceed the amount of CoC Material that was part of the Force Majeure situation.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity has defined in its ASI procedure, that in the case of a Force Majeure situation, the Material Accounting System can carry over an Internal Overdraw to the subsequent accounting period, but the amount of CoC Material has to be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity has defined in its ASI procedure that CoC Material that cannot be used within a current year, may be transferred to the next accounting period.
8.9b Positive Balance (Expiry)	Conformance	The Entity has defined in its ASI procedure that CoC Material that cannot be used in the current year, may be transferred to the next accounting period. It has to be marked as carry over CoC Material and has to be consumed within this period.

## 9. ISSUING COC DOCUMENTS

9.1 CoC Document	Conformance	The CoC Document requirements are implemented in the ERP-System. If material is marked as CoC Material, all relevant information is printed on the CoC Documents (such as delivery documents, invoices, and pallet labels).
9.2a CoC Document Content (Date of issue)	Conformance	All CoC Documents carry the date of issue, which is the date of the delivery note.
9.2b CoC Document Content (Reference number)	Conformance	All documents, including CoC Documents, have a reference number. The reference number is the batch (or order) number of the Product ordered. This enables verification of CoC Material.
9.2c CoC Document Content (Issuing Entity)	Conformance	All CoC Documents include the details of the Entity, its address and CoC Certification number for each shipment.
9.2d CoC Document Content (Receiving customer)	Conformance	All CoC Documents include the identity, address and the CoC Certification number of the customer receiving the Entity's CoC Material (if the customer is another ASI CoC Certified Entity).

CRITERION	RATING	COMMENT
9.2e CoC Document Content (Responsible employee)	Conformance	All documents for the Entity's clients, including CoC Documents, include the name of the person who is responsible for the handling of the order (Account Manager/Kundenbetreuer). They are the point of contact for all questions and will forward them to the Product Manager and/or the Quality Department.
9.2f CoC Document Content (Conformance statement)	Conformance	All CoC Documents carry the claim "The information provided in the CoC document is in accordance with the ASI CoC standard".
9.2g CoC Document Content (Type of CoC Material)	Conformance	All CoC Documents will specify the type of CoC Material as "ASI Aluminium".
9.2h CoC Document Content (Mass of CoC Material)	Conformance	All shipping documents, including CoC Documents, provide information on the amount of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	All shipping documents, including CoC Documents, provide information on the mass of CoC Material and the mass of total Material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	This Criterion is not applicable to the Entity, as it has decided not to disclose carbon footprint Sustainability Data on CoC Documents.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity will not make Sustainability Data available in the CoC Document initially, but only upon request and agreement with the receiving Entity.
9.3c Sustainability Data (optional) - Recycled content	Conformance	The Entity will not make Sustainability Data available in the CoC Document initially, but only upon request and agreement with the receiving Entity.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity, as it has decided not to provide its ASI Certification Status data.
9.4 Supplementary Information (optional) - Objective evidence	Not Applicable	This Criterion is not applicable to the Entity, as it has decided not to provide Supplementary Information in CoC Documents.
9.5 Verification of Information	Conformance	The Entity's Quality Department is responsible for responding to questions on the information in the CoC Documents in close cooperation with the Product Management and Sales teams. All necessary records of delivery documents, and batch records are available to verify the amounts.
9.6 Error (Shipping)	Conformance	The Entity has a Management System to record, analyse and document all errors identified and claimed by its customer. This system is extended for CoC Documents. It is regulated that all errors have to be reported in the management review.

CRITERION	RATING	COMMENT
<b>10. RECEIVING CoC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity has established a system where CoC Material is ordered as special material with a unique material code. During delivery, the amount of CoC Material and the corresponding code are checked before recording the CoC Material into its ERP system.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	Upon delivery, the consistency of received material with the accompanying documents are checked. This is also undertaken with all CoC Material before recording the information in the Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has established a system to review at least annually relevant quality and environmental data of its suppliers, including certificates, their validity and any changes in the scope of certification. This is also undertaken for the Entity's suppliers of CoC Material.
10.4 Error (Reception)	Conformance	The Entity checks all deliveries on arrival. If errors, damage or inconsistencies are identified, an internal complaint is opened in the ERP system and managed accordingly. The Quality Department is responsible for the follow-up, including root cause analysis and agreed measures with the department heads and the suppliers (if necessary).
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has defined work instructions for the labelling of CoC Material (ASI CoC Claim) according to the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has established an internal procedure for claims referring to the ASI Claims Guide. The Entity's webpage includes a weblink to the official ASI webpage for more information.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided training for relevant employees regarding the ASI Claims Guide requirements.

#### 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	2 March 2020	Issued (Full Certification)
1	30 July 2021	Re-Certification Audit (undertaken prior to expiry of initial three-year certification period to align timing with the Performance Standard re-certification period); Update to Audit Scope format for Initial Certification Audit.
2	14 August 2024	Re-Certification and Scope Change Audit – Full Certification Scope Change to apply Chain of Custody Standard V2

---