

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Yunnan Yunlv Yongxin Aluminium Co., Ltd

CERTIFICATE NUMBER

214

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

TÜV RHEINLAND CERT  
GMBH

DATE OF ISSUE

15 JULY 2024

DATE OF EXPIRY

14 JULY 2027

CERTIFIED SINCE

15 JULY 2022

## AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. H.', with a long horizontal line extending to the right.

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

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

## CERTIFICATION SCOPE

Operation of aluminium smelters and  
cathouses for the manufacture of liquid  
electrolytic aluminium, aluminium ingots  
for remelting and casting aluminium  
alloy at Yunnan Yunlv Yongxin Aluminium  
Co., Ltd (China).

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Yunnan Aluminium Co., Ltd.
ENTITY NAME	Yunnan Yunlv Yongxin Aluminium Co., Ltd
CERTIFICATION SCOPE	Operation of aluminium smelters and casthouses for the manufacture of liquid electrolytic aluminium, aluminium ingots for remelting and casting aluminium alloy at Yunnan Yunlv Yongxin Aluminium Co., Ltd (China).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Smelting</li><li>Aluminium Re-melting/Refining</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 (19 – 20 May 2022)</li><li>Re-Certification Audit and Scope Change (26 – 28 March 2024)</li></ul>
AUDIT FIRM	TÜV Rheinland Cert GmbH
AUDIT DATE	<ul style="list-style-type: none"><li>19 – 20 May 2022 (Initial Certification Audit)</li><li>26 – 28 March 2024 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>14 June 2022 (Initial Certification Audit)</li><li>27 May 2024 (Re-Certification Audit and Scope Change)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (19 – 20 May 2022)</u></p> <p>The audit scope covers the operation of aluminium smelters and casthouses for the manufacture of liquid electrolytic aluminium, aluminium ingots for remelting and casting aluminium alloy at Yunnan YunLv Yongxin Aluminium Co., Ltd. (China).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>Aluminium Smelting</li><li>Aluminium Re-melting/Refining</li><li>Casthouses</li></ul> <p>All relevant criteria in the ASI Chain of Custody Standard were included in the audit scope.</p> <p><u>Re-Certification Audit and Scope Change (26 – 28 March 2024)</u></p> <p>The audit scope covers the operation of aluminium smelters and casthouses for the manufacture of liquid electrolytic aluminium, aluminium ingots for remelting and casting aluminium alloy at Yunnan YunLv Yongxin Aluminium Co., Ltd (China).</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>Aluminium Smelting</li><li>Aluminium Re-melting/Refining</li><li>Casthouses</li></ul>

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

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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 15 July 2024 – 14 July 2027

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DUE DATE 14 July 2026

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CERTIFICATE NUMBER 214

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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

Yunnan Yunlv Yongxin Aluminium Co., Ltd (the 'Entity'), which was established in 2005, is located in Yangjie Industrial Park, Yunnan Province, China. It has an annual capacity is 300 kilotonnes of electrolytic Aluminium and 360 kilotonnes of Aluminium alloy. The Entity has one electrolytic production line, two Aluminium ingot production lines for re-melting and five alloy production lines. Yunnan Yunlv Yongxin Aluminium Co., Ltd mainly sells electrolytic Aluminium Liquid, Aluminium ingots for re-melting and Aluminium processing products.

The Entity covers an area of 600,000 square metres with approximately 945 employees, divided into production, living and office areas with adequate safety measures in place. Residential accommodations are provided on-site, and there are with no sensitive receptors within a 5-kilometer radius of the Facility. The nearest downtown area is around 10 kilometres away. In addition, a distributed photovoltaic project is currently being constructed.

## 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>	Medium
<b>PERFORMANCE</b>	Medium
<b>OVERALL</b>	<b>MEDIUM</b>

## FINDINGS

CRITERION	RATING	COMMENT
1. MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI Membership	Conformance	The Entity is an ASI Member complying with ASI's membership obligations and the ASI Complaints Mechanism. The Entity is in the Production and Transformation category and is both ASI Performance Standard and Chain of Custody Standard Certified: <a href="https://aluminium-stewardship.org/about-asi/members/YUNNAN-ALUMINIUM-CO---LTD-">https://aluminium-stewardship.org/about-asi/members/YUNNAN-ALUMINIUM-CO---LTD-</a>
1.2 CoC Management System	Conformance	The Entity has established a Management System to address all applicable requirements of the ASI Chain of Custody Standard, covering all Facilities under its control. An ASI Chain of Custody (CoC) Standard Management Manual and relevant procedures/records have been established. These include the purpose, scope, Policies, responsibilities, risk assessment, improvement objectives, training, communication, internal audit, Corrective Action plans, document and record keeping, supplier management and workflow of the ASI CoC System.
1.3 CoC Management System Monitoring	Conformance	The Entity has established a process to periodically review the Management System to assess the effectiveness of the ASI CoC Management Manual and address potential areas of non-conformance and improvement. The periodic review is conducted at least annually according to their established procedure, which complies with the ASI Chain of Custody Standard. The latest internal audit was conducted in October 2023 and a management review took place in February 2024. All the findings found as part of internal audits have been corrected.
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, with defined roles and responsibilities to manage the Chain of Custody system. The Deputy General Manager has been appointed as the Management Representative of the ASI CoC Management System.
1.5 Communications and Training	Conformance	The Entity delivers orientation and annual refresher training for relevant personnel to raise awareness of ASI CoC requirements. An annual training plan, training materials and training records were provided for review. The latest training related to the ASI CoC Standard Management Manual and Procedures was conducted in September 2023.
1.6 Records Management	Conformance	The Entity's ASI CoC Standard Management Manual defines that all records must be retained for at least 5 years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity's CoC Standard Management Manual requires the Entity to report specific information regarding CoC Material to the ASI Secretariat before 30th June of each calendar year. This includes the Input and Output Quantities of Eligible Scrap to and from the Certified Entity throughout the calendar year. The information for 2022 was submitted to ASI in June 2023. There was no Input/Output of CoC Material prior to the Audit.

CRITERION	RATING	COMMENT
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity has reported their CoC Material to the ASI Secretariat in June 2023 for the 2022 reporting year. There was no Input/Output of CoC Material prior to the Audit.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity has reported their CoC Material to the ASI Secretariat in June 2023 for the 2022 reporting year. There was no Input/Output of CoC Material prior to the Audit.
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity's CoC Standard Management Manual requires the Entity to report specific information regarding CoC Material to the ASI Secretariat before 30th June of each calendar year. This includes the Positive Balance carried over to the subsequent Material Accounting Period. The information for 2022 was submitted to ASI in June 2023. No Positive Balance has been generated in previous years.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity's CoC Standard Management Manual requires the Entity to report specific information regarding CoC Material to the ASI Secretariat before 30th June of each calendar year. This includes the Positive Balance used. The information for 2022 was submitted to ASI in June 2023. No Positive Balance has been generated in previous years.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity's CoC Standard Management Manual requires the Entity to report specific information regarding CoC Material to the ASI Secretariat before 30th June of each calendar year. This includes Internal Overdraw drawn down from the subsequent Material Accounting Period. The information for 2022 was submitted to ASI in June 2023. No Internal Overdraw has been generated in previous years.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity's CoC Standard Management Manual requires the Entity to report specific information regarding CoC Material to the ASI Secretariat before 30th June of each calendar year. This includes Quantities of CoC Material transferred between supply chain activities within the CoC Certified Entity (Intra-Entity Flows). The information for 2022 was submitted to ASI in June 2023. No CoC Materials have been transferred between supply chain activities in previous years.

## 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 take custody of CoC Material.
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 take custody of CoC Material.
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 take custody of CoC Material.

CRITERION	RATING	COMMENT
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 take custody of CoC Material.
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 take custody of CoC Material.
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 take custody of CoC Material.
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 take custody of CoC Material.

### 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.
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's ASI Chain of Custody (CoC) Standard Management Procedure defines ASI Aluminium must be produced exclusively from Aluminium Smelters within the Entity's CoC Certification Scope. The Quality Department is responsible for checking and monitoring implementation. A traceability system has been established to track whether ASI Aluminium originates from Aluminium Smelters within the Entity's CoC Certification Scope or from another CoC Certified Entity.
3.3b ASI Aluminium (Performance Standard)	Conformance	All the Aluminium Smelters within the Certificate Scope are Certified against the ASI Performance Standard: <a href="https://aluminium-stewardship.org/about-asi/members/YUNNAN-ALUMINIUM-CO-LTD-">https://aluminium-stewardship.org/about-asi/members/YUNNAN-ALUMINIUM-CO-LTD-</a>
3.3c ASI Aluminium (Alumina sourcing)	Conformance	The Entity has processes in place to monitor the quantities of Alumina and designated Eligible Inputs and Non-CoC Materials in its Material Accounting System. At the time of the Audit, no CoC Alumina has been used as Input or Output in previous years.

CRITERION	RATING	COMMENT
<b>4. RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP</b>		
4.1a Recycled Aluminium (CoC Certification Scope)	Conformance	The Entity's ASI CoC Standard Management Procedure defines Recycled Aluminium should be sourced from CoC Certified Entities. Within the Entity's Certification Scope, there is one re-melting line and six refining lines for Recycled Aluminium. At the time of the Audit, no CoC Recycled Aluminium was used as Input or Output in previous years.
4.1b Recycled Aluminium (Performance Standard)	Conformance	The Entity's Aluminium Re-melting/Refining Facilities are within the Entity's ASI Performance Standard Certification Scope. At the time of the Audit, no CoC Recycled Aluminium has been used as Input or Output in previous years.
4.2a Eligible Scrap (Pre-Consumer)	Conformance	The Entity's Material Accounting System is designed to control and account for Eligible Scrap entering the value chain. Only Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity is considered as Eligible Scrap.
4.2b Eligible Scrap (Post-Consumer)	Conformance	The Entity's Material Accounting System is designed to control and account for Eligible Scrap entering the value chain. Only Post-Consumer Scrap that is subject to supplier Due Diligence and is assessed by the Entity will be considered as Eligible Scrap.
4.2c Eligible Scrap (Dross)	Conformance	The Entity's Material Accounting System is designed to control and account for Eligible Scrap entering the value chain. Only Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity or Aluminium recovered from Dross and treated Dross residues that are subject to supplier Due Diligence will be considered as Eligible Scrap.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Conformance	The Entity has one scrap material supplier and has established a system to record its identities and principles. The Entity has conducted audits of the supplier and related reports are ready for review.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Conformance	All financial transactions with the direct supplier of scrap materials are conducted exclusively via bank transfers, and no cash payments are involved.
<b>5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's ASI CoC Standard Management Procedure defines the process to ensure that ASI Aluminium production only occurs in Casthouses within the Entity's CoC Certification Scope.
5.1b ASI Aluminium (Performance Standard)	Conformance	The Entity's ASI CoC Standard Management Procedure defines the process to ensure ASI Aluminium production occurs only in Casthouses within the Entity's CoC Certification Scope and hold a valid ASI Performance Standard Certificate.  <a href="https://aluminium-stewardship.org/about-asi/members/YUNNAN-ALUMINIUM-CO---LTD-">https://aluminium-stewardship.org/about-asi/members/YUNNAN-ALUMINIUM-CO---LTD-</a>



CRITERION	RATING	COMMENT
5.1c ASI Aluminium (Aluminium sourcing)	Conformance	The Entity's ASI CoC Standard Management Procedure defines that all materials processed in Casthouses must come directly from internal smelters within the Entity's CoC Certification Scope.
5.2 Unique Identification	Conformance	The Entity has established procedures for tracing materials, including the use of special labels and designated areas for different materials. The numbers on these special labels are unique and allow for clear identification of information regarding smelters and Casthouses.
<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 an Anti-Corruption Policy. All major next-tier suppliers have been informed about this Policy and have signed Integrity Contracts.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has a Responsible Purchasing Policy that encompasses environmental, social and governance aspects for suppliers. All major next-tier suppliers have been informed about this Policy and have signed a commitment letter.
7.1c Responsible Sourcing Policy (Human rights due diligence)	Conformance	The Entity has a Responsible Purchasing policy that includes Human Right Due Diligence. All major next-tier suppliers have been informed about this Policy and have signed a commitment letter.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has established mechanisms to manage minerals from Conflict-Affected and High-Risk Areas (CAHRAs). Relevant training courses have been provided to employees. All major next-tier suppliers have been informed about this Policy and have signed a commitment letter.
7.2 Risk Assessment and Mitigation	Minor Non-Conformance	<p>The Entity annually assesses the risks of Non-Compliance with its Responsible Sourcing Policy for all suppliers, including material suppliers and Traders. These assessments are conducted through Self-Assessment Questionnaires (SAQs), or on-site audits based on risk levels.</p> <p>For the 2023 supplier audits, two minor Non-Conformances were identified according to internal procedures. However, the Entity did not require suppliers to provide Corrective Action plans for these Non-Conformances.</p>

CRITERION	RATING	COMMENT
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a complaints mechanism that enables interested parties to raise concerns about Non-Compliance with its Responsible Sourcing policy in its Aluminium supply chain. Complaints channels, including email ( <a href="mailto:ylxbgs@163.com">ylxbgs@163.com</a> ) and hotline (+86-873-7686682), have been published on the website: <a href="https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953759373.pdf">https://ylgf.chinalco.com.cn/xwzx/ywgg/202203/P020220318581953759373.pdf</a>

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

8.1 Material Accounting System	Conformance	The Entity has established an offline format to record the Input Quantity and Output Quantity of CoC Material and Non-CoC Material by mass. The format includes automatic alerts for balance discrepancies. The information in the offline format is reviewed monthly by the Quality Department to ensure accuracy.
8.2 Material Accounting Period	Conformance	The Material Accounting Period is defined as a 12-month calendar year from 1 January to 31 December.
8.3 Input and Inflow Quantities	Conformance	The Entity has a process to record the Quantities of each CoC Material and Eligible Scrap Input, as well as the Quantities of Non-CoC Material and Recyclable Scrap Material Inflow to the Certification Scope. The Entity's ASI CoC Standard Management Procedure defines that the Inflow Quantity of Eligible Scrap and Recyclable Scrap Material shall be based on an assessment of Aluminium content. At the time of the Audit, there were no Inputs/Outputs of CoC Materials in previous years.
8.4 Output Quantities of CoC Material	Conformance	The Entity's Material Accounting System can manage the available Quantities of CoC Material for Output and determine the Input Quantities for each CoC Material proportional to the total Inflows of CoC and Non-CoC Material by mass. At the time of the Audit, there were no Inputs/Outputs of CoC Materials in previous years.
8.5 Indivisibility of CoC Material	Conformance	The Entity's ASI CoC Standard Management Procedure specifies that the Output Quantity of CoC Material shall be designated as 100% CoC Material. As of the audit, there have been no Inputs/Outputs of CoC Materials in previous years.
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's ASI CoC Standard Management Procedure defines the requirements to designate the relevant proportion of scraps generated in the production processes as Eligible Scrap, using the same percentage share as for its Output of ASI Aluminium. There have been no Inputs/Outputs of Eligible Scrap in previous years.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's ASI CoC Standard Management Procedure defines the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material and/or Eligible Scrap over the Material Accounting Period. At the time of the Audit, there were no Inputs/Outputs of CoC Materials in previous years.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's ASI CoC Standard Management Procedure defines the Internal Overdraw shall not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period, if such an Overdraw becomes necessary.

CRITERION	RATING	COMMENT
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's ASI CoC Standard Management Procedure defines the Internal Overdraw shall not exceed the amount of CoC Material affected by the Force Majeure situation for the Material Accounting Period, if such an Overdraw becomes necessary. The Entity's Material Accounting System should draw down the Internal Overdraw from the subsequent Material Accounting Period.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's ASI CoC Standard Management Procedure defines Internal Overdraws must be made up within the subsequent Material Accounting Period. At the time of the Audit, there were no instances of implementation of the Accounting System, as no ASI CoC Material was available in the Entity's supply chain.
8.9a Positive Balance (Carry over)	Conformance	The Entity's ASI CoC Standard Management Procedure defines the management of the Positive Balance and identifies any carry over to the subsequent Material Accounting Period. At the time of the Audit, there were no instances of implementation of the Accounting System, as no ASI CoC Material was available in the Entity's supply chain.
8.9b Positive Balance (Expiry)	Conformance	The Entity's ASI CoC Standard Management Procedure defines that a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Period must expire at the end of that Period if not drawn down. At the time of the Audit, there were no instances of implementation of the Accounting System, as no ASI CoC Material was available in the Entity's supply chain.

## 9. ISSUING COC DOCUMENTS

9.1 CoC Document	Conformance	The Entity has implemented a system to compile CoC Documents for each shipment and transfer, ensuring that they are controlled, issued and stored. At the time of the Audit, the Entity had not yet issued CoC Documents, as no ASI CoC Material was available in the Entity's supply chain.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the reference number.
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the identity, address and CoC Certification number of the Entity issuing the CoC Document.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the identity and address of the customer receiving the CoC Material.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the responsible employee who can verify the information.

CRITERION	RATING	COMMENT
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the required conformance statement.
9.2g CoC Document Content (Type of CoC Material)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the types of CoC Materials in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the mass of CoC Material.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the mass of total Material.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	The Entity uses the ASI CoC Document template specified in the ASI Chain of Custody Standard, which includes the average carbon footprint of the CoC Material and the accounting method applied.
9.3b Sustainability Data (optional) - Origin information	Conformance	The Entity uses the ASI CoC Document template specified in the ASI CoC Standard, which includes information to support the origin of Aluminium.
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 uses the ASI CoC Document template specified in the ASI CoC Standard, which includes a column for Supplementary Information. The Entity can provide Supplementary Information as required by customers.
9.5 Verification of Information	Conformance	The Entity has established processes and assigned responsibility for verifying information in CoC Documents issued by the Entity. Contact information for the requester is included in the CoC Document template.
9.6 Error (Shipping)	Conformance	The Entity will integrate error management into its existing ISO 9001 processes to address errors and prevent recurrence.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity's ASI CoC Standard Management Procedure defines the process and assigns responsibility for verifying the information on received CoC Documents. At the time of the Audit, the Entity had not yet issued CoC Documents, as no ASI CoC Material was available in the Entity's supply chain.

CRITERION	RATING	COMMENT
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity's ASI CoC Standard Management Procedure defines the process and assigns responsibility for verifying the consistency of received CoC Documents with the accompanying CoC Material or Eligible Scrap before recording information in their Material Accounting System.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity has assigned a Specialist from the Quality Department to regularly check the ASI website to verify the validity and scope of the supplier's ASI CoC Certification for any changes that might affect the status of the supplied CoC Material or Eligible Scrap.
10.4 Error (Reception)	Conformance	There are no Input/Output of CoC Materials, as a result no error has been identified. The Entity will integrate error management with its existing ISO 9001 processes, to document errors and implement corrective actions and potential preventive measures.

## 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's ASI CoC Standard Management Procedure defines the claims and communications procedure regarding ASI claims and communications. At the time of the Audit, there were no instances of claims outside or within CoC Documents as no ASI CoC Material was available in the Entity's supply chain.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity's ASI CoC Standard Management Procedure defines the claims and communication procedure regarding verifiable evidence and records. It requires that all ASI claims must be approved by the Deputy General Manager at minimum.
11.1c Claims and Communications (Employee training)	Conformance	The Entity provided training courses on claims and communication to relevant employees in September 2023. Employees were interviewed to confirm their understanding of the claims and communication procedures.

### 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	15 July 2022	Initial Certification Audit – Full Certification
1	15 July 2024	Re-Certification Audit and Scope Change – Full Certification Scope Change from the ASI Chain of Custody Standard V1 to V2