

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# NOVELIS DO BRASIL LTDA.

CERTIFICATE  
NUMBER

239

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

25 NOVEMBER 2022

DATE OF EXPIRY

24 NOVEMBER 2025

CERTIFIED SINCE

25 NOVEMBER 2022

AUTHORISED BY

A handwritten signature in white ink on a dark grey background. The signature is stylized and appears to be 'J. H.' followed by a long horizontal line.

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

Novelis Office in São Paulo (Brazil), all activities at the Novelis Pindamonhangaba Facility (Brazil) for the production of flat rolled Aluminium, the Cariacica Distribution Center (Brazil), and Collection Centers at Ananindeua, Bauru, Brasília, Campinas, Curitiba, Gravataí, João Pessoa, Juiz de Fora, Parnamirim, Pindamonhangaba, Recife, Salvador, São Gonçalo, São Paulo, and Sertãozinho (Brazil).

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY STANDARD

### OVERVIEW

MEMBER NAME	Novelis Inc.
ENTITY NAME	Novelis do Brasil LTDA.
CERTIFICATION SCOPE	Novelis Office in São Paulo (Brazil), all activities at the Novelis Pindamonhangaba Facility (Brazil) for the production of flat rolled Aluminium, the Cariacica Distribution Center (Brazil), and Collection Centers at Ananindeua, Bauru, Brasília, Campinas, Curitiba, Gravataí, João Pessoa, Juiz de Fora, Parnamirim, Pindamonhangaba, Recife, Salvador, São Gonçalo, São Paulo, and Sertãozinho (Brazil).
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li><li>Post-Casthouse</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Chain of Custody Standard V1</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit (17 August – 28 October 2022)</li><li>Surveillance Audit and Scope Change (3 July – 1 August 2024)</li></ul>
AUDIT FIRM	<ul style="list-style-type: none"><li>DNV Business Assurance Services UK Ltd.</li></ul>
AUDIT DATE	<ul style="list-style-type: none"><li>17 August – 28 October 2022 (Initial Certification Audit)</li><li>3 July – 1 August 2024 (Surveillance Audit and Scope Change)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>9 November 2022 (Initial Certification Audit)</li><li>20 August 2024 (Surveillance Audit and Scope Change)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (17 August – 28 October 2022)</u></p> <p>The audit scope covers all activities at the Novelis Pindamonhangaba Facility (Brazil) for the production of flat rolled aluminium and the Recycling Collection Centres at Brasília, Campinas, João Pessoa, Parnamirim, Pindamonhangaba, São Paulo, .</p> <p>The Brasília, João Pessoa and Parnamirim sites were audited remotely.</p> <p>The Entity uses the ASI multi-site sampling approach and the Cariacica Distribution Center and Collection Centre sites at Ananindeua, Bauru, Curitiba, Juiz De Fora, Recife, Salvador, São Gonçalo and Sertãozinho were included in the audit scope but not visited.</p> <p>Supply chain activities included in the audit scope:</p>

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

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

Surveillance Audit and Scope Change (3 July – 1 August 2024)

The audit scope covers all activities at the Novelis Pindamonhangaba Facility for the production of flat rolled aluminium and the Recycling Collection Centres at Ananindeua, Brasília, Curitiba, Juiz De Fora, and Salvador.

The Entity uses the ASI multi-site sampling approach and has added the Collection Centre at Gravataí (Rio Grande do Sul) into the Certification Scope.

Supply chain activities included in the audit scope:

- Aluminium Re-melting/Refining
- Casthouses
- 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

25 November 2022 – 24 November 2025

NEXT AUDIT  
TYPE

Re-Certification Audit

NEXT AUDIT  
DUE DATE

24 November 2025

CERTIFICATION  
NUMBER

239

## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity has been an ASI Member in the Production & Transformation Class since 2015: <a href="https://aluminium-stewardship.org/about-asi/asi-members/novelis-inc">https://aluminium-stewardship.org/about-asi/asi-members/novelis-inc</a>
1.2 Management system	Conformance	The Entity has established a Management System for all Facilities under the Entity's control that have CoC Material Custody. The Entity has developed the operational procedures for managing the Chain of Custody.
1.3 Management system reviews	Conformance	The Entity has developed Operational Procedures for managing the supply chain, which is periodically updated to address areas that may generate potential risks of Non-Compliance.
1.4 Management representative	Conformance	The Entity has appointed the Manager of Quality and Certification as the Management Representative who holds responsibility and authority for Conformance with and implementation of all requirements of the ASI Chain of Custody Standard. The Representative has full support from the Entity's ASI Committee to ensure an integrated view of the organisation.
1.5 Training	Conformance	The Entity has implemented communication and training measures for all involved with the CoC Certification and promoted the awareness of CoC Certification to employees.
1.6 Record keeping	Conformance	The Entity has defined in the 'Manual do Sistema Integrado – ASI' (ASI Integrated System Manual ASI) that all documents related to the ASI Chain of Custody Standard must be retained for a minimum of five years.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has defined within its ASI Integrated System Manual to provide the Input and Output Quantities of CoC Material/s throughout the calendar year and report the information within a maximum period of six months after each calendar year to the ASI Secretariat. The ASI Materials Consumption Report with relevant 2023 data was reported to the ASI Secretariat in June 2024.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has defined within its 'Integrated System Manual – ASI', to provide the Input Percentage/s calculated for the calendar year and report the information to the ASI Secretariat within a maximum

CRITERION	RATING	COMMENT
		period of six months after each calendar year. The ASI Materials Consumption Report with relevant 2023 data was reported to the ASI Secretariat in June 2024.
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has defined within its 'Integrated System Manual – ASI', to determine the maximum Positive Balance in the calendar year carried over to the subsequent Material Accounting Period (if applicable), and to report the information no later than six months after each calendar year to the ASI Secretariat. The ASI Materials Consumption Report with relevant 2023 data was reported to the ASI Secretariat in June 2024.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity defined within its 'Integrated System Manual – ASI', to determine the maximum Internal Overdraw within the calendar year (if applicable), and the CoC Material Input Quantity percentage that this represents and report the information no later than six months after each calendar year to the ASI Secretariat. The ASI Materials Consumption Report with relevant 2023 data was reported to the ASI Secretariat in June 2024.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity defined within its 'Integrated System Manual – ASI', the total amount of Eligible Scrap Input, with a breakdown by Post-Consumer Scrap and Pre-Consumption Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity and reports the information within 6 months after each calendar year to the ASI Secretariat. The ASI Materials Consumption Report with relevant 2023 data was reported to the ASI Secretariat in June 2024.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Not Applicable	This Criterion is not applicable, as the Entity does not use ASI Credits.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion is not applicable, as the Entity does not use ASI Credits
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.2a Control of CoC Material	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.

CRITERION	RATING	COMMENT
2.2b No further outsourcing	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.2c Risk assessment	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.3 Output Quantity	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.4 Verification and record-keeping	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.
2.5 Error management	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope as the Entity does not use Outsourcing Contractors.

### 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	The Entity has defined procedures and systems to ensure that ASI Liquid Metal is produced only from Facilities within the Entity's CoC Certification Scope.
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	The Entity has defined procedures and systems to ensure that ASI Liquid Metal is produced only from Facilities that are Certified against the ASI Performance Standard.

CRITERION	RATING	COMMENT
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity has defined procedures and systems to ensure that Pre-Consumer Scrap and Slag are sourced from an ASI CoC Certified Entity.
4.2b Post-Consumer Scrap	Conformance	The Entity has defined procedures and systems to ensure that the Scrap that is eligible in its accounting system is considered only as Post-Consumer and subject to supplier Due Diligence.
4.3a Supplier records	Conformance	The Entity has defined the method to ensure that all direct suppliers of Recyclable Scrap Material have a respective record including identity, place of operation and applicable legal documents and consent to meet the requirements of the Supplier Code of Conduct.
4.3b Cash payments	Conformance	The Entity does not make cash payments for any type of supply.

#### 5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

5.1a CoC Certification Scope – Casthouses	Conformance	The Entity has implemented an ASI Integrated System Manual and Mass Balance System to ensure that Primary ASI Aluminium and Recycled ASI Aluminium are produced only from foundries that are within the Entity's CoC Certification Scope and/or in which the Entity holds a legal interest and is within the CoC Certification Scope of another CoC Certified Entity. The Entity has demonstrated that post-consumer Recycled Aluminium can be purchased through the Entity's Collection Centres, which within the ASI CoC Standard Certified.
5.1b ASI Performance Standard – Casthouses	Conformance	The Entity has defined procedures and systems to ensure that Primary Aluminium comes from ASI Performance Standard Certified Entities. The Entity demonstrates that Recycled Aluminium can be purchased through the Entity's Collection Centres, which are ASI Performance Standard Certified.
5.2 Casthouse Products	Conformance	The Entity has defined its Mass Balance process for the identification of materials and to ensure identification numbers are printed on ASI Aluminium can be linked to the Input Quantity of CoC Material for the Material Accounting Period.

#### 6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM

6.1a CoC Certification Scope - Post-Casthouse	Conformance	The Novelis Pindamonhangaba Facility is the only site within the Entity's CoC Certification Scope that can produce ASI Aluminium Products.
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CRITERION	RATING	COMMENT
6.1b ASI Performance Standard - Post-Casthouse	Conformance	The Entity has defined in the ASI Integrated Manual that ASI Aluminium is produced only by the Entity, which is certified against the ASI Performance Standard or that the manufacturing Entity is in the process of certifying against the ASI Performance Standard.
6.1c Sourcing ASI Aluminium	Conformance	The Entity has established systems to ensure that it sources ASI Aluminium directly from another ASI Chain of Custody Standard Certified Entity, Collection Centres, or through a metal Trader or warehouse where a verified CoC Document containing the required information can be provided.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has defined a process as part of its supplier approval process to address anti-Corruption by asking suppliers to submit and accept the Supplier Code of Conduct. The Entity has also implemented an Ethical and Responsible Purchasing Policy: <a href="https://pt-br.novelis.com/wp-content/uploads/2024/01/PRB_Novelis-Supplier-Code-of-Conduct-120523.pdf">https://pt-br.novelis.com/wp-content/uploads/2024/01/PRB_Novelis-Supplier-Code-of-Conduct-120523.pdf</a>
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has defined a responsible sourcing and anti-Corruption process, requesting suppliers to submit and accept the Supplier Code of Conduct: <a href="https://pt-br.novelis.com/wp-content/uploads/2024/01/PRB_Novelis-Supplier-Code-of-Conduct-120523.pdf">https://pt-br.novelis.com/wp-content/uploads/2024/01/PRB_Novelis-Supplier-Code-of-Conduct-120523.pdf</a> <a href="https://pt-br.novelis.com/suppliers/">https://pt-br.novelis.com/suppliers/</a>
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has defined a responsible sourcing and anti-Corruption process, requesting suppliers to submit and accept the Supplier Code of Conduct, which includes Human Rights: <a href="https://pt-br.novelis.com/wp-content/uploads/2024/01/PRB_Novelis-Supplier-Code-of-Conduct-120523.pdf">https://pt-br.novelis.com/wp-content/uploads/2024/01/PRB_Novelis-Supplier-Code-of-Conduct-120523.pdf</a> <a href="https://pt-br.novelis.com/suppliers/">https://pt-br.novelis.com/suppliers/</a>
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has defined a responsible sourcing and anti-Corruption process, requesting suppliers to submit and accept the Supplier Code of Conduct, which addresses Human Rights: <a href="https://pt-br.novelis.com/wp-content/uploads/2024/01/PRB_Novelis-Supplier-Code-of-Conduct-120523.pdf">https://pt-br.novelis.com/wp-content/uploads/2024/01/PRB_Novelis-Supplier-Code-of-Conduct-120523.pdf</a> The Entity has established an Integrity Program Executive Committee that assesses procurement



CRITERION	RATING	COMMENT
		risks in Conflict-Affected and High-Risk Areas (CAHRAs). Further information is available in the Sustainability Report (page 14 and 15): <a href="https://online.fliphtml5.com/xtams/qqjv/#p=14">https://online.fliphtml5.com/xtams/qqjv/#p=14</a>
7.2 Risk assessment	Conformance	The Entity has assessed the risks of non-compliance with its Responsible Purchasing Policy by suppliers of Non-CoC Materials and Recyclable Scrap, through the Supplier Code of Conduct, Integrity Program, and the supplier's Legal Documentation (Mandatory) assessment. Further information is available in the Sustainability Report (page 14 and 15): <a href="https://online.fliphtml5.com/xtams/qqjv/#p=14">https://online.fliphtml5.com/xtams/qqjv/#p=14</a>
7.3 Complaints mechanism	Conformance	The Entity has established a Grievance Mechanism appropriate to the nature, scale, and impact of the business and which allows all Stakeholders and rightsholders to express concerns about non-compliance with its Responsible Sourcing Policy in its Aluminium supply chain. The 'Vox Novelis' is a communication channel for Novelis South America customers and suppliers, the channel is confidential and operated by an independent company to ensure communication security. Email: <a href="mailto:voxnovelis@linhaetica.com.br">voxnovelis@linhaetica.com.br</a> Phone: 0800-200-7170 Website: <a href="http://www.linhaetica.com.br/etica/voxnovelis">www.linhaetica.com.br/etica/voxnovelis</a>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity has established a Mass Balance System to control CoC and Non-CoC Material Inputs and Outputs and determine the Input and Output volumes in the system.
8.2a Post-Consumer Scrap	Conformance	The Entity has established a Mass Balance System to control CoC and Non-CoC Material Inputs and Outputs, including the amount of Post-Consumer Scrap Input.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has established a Mass Balance System to control CoC and Non-CoC Material Inputs and Outputs, including the Input Quantity of Pre-Consumer Scrap and Internal Scrap.
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Entity has established a Mass Balance System to control CoC and Non-CoC Material Inputs and Outputs, including the Pre-Consumer Scrap Input Quantity supplied directly from a CoC Certified Entity.

CRITERION	RATING	COMMENT
8.3 Material Accounting Period	Conformance	The Entity has defined the Material Accounting Period as 12 months within a calendar year.
8.4 Input Percentage	Conformance	The Entity has established a Mass Balance System to manage and track ASI Aluminium from processing to delivery to its customers, which includes the Input Percentage for a given Material Accounting Period.
8.5 Input Percentage (Aluminium Re-Melting/Refining)	Conformance	The Entity has established a Mass Balance System to manage and track ASI Aluminium from processing to delivery to its customers, which includes the Input Percentage for a given Accounting Period.
8.6 Output Quantity determination	Conformance	The Entity has established a Mass Balance System to manage and track ASI Aluminium through processing to delivery to its customers, which includes calculating and recording the Output Quantity of CoC Material.
8.7 Output Quantity designation	Conformance	The Entity has established a Mass Balance System to manage and track ASI Aluminium through processing to delivery to its customers, which includes the Output Quantity of CoC Material. This may be a subset of the total production and designated as 100% CoC Material.
8.8 Output Quantity - Pre-Consumer Scrap	Conformance	The Entity has established a Mass Balance System to manage and track ASI Aluminium through the processing to delivery to its customers. The Entity produces Pre-Consumer Scrap from its processes and uses the Input Percentage for the Material Accounting Period to determine the Output Quantity of Eligible Scrap.
8.9 Outputs not exceed Inputs	Conformance	The Entity has established a Mass Balance System to manage and track ASI Aluminium through processing to delivery to its customers, and not exceed the Input Percentage applied to the total Input of CoC Material and Eligible Scrap during the Material Accounting Period.
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity has established a Mass Balance System to ensure the Internal Overdraw does not exceed 20% of the total CoC Material Input Quantity for the Material Accounting Period.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity has implemented an ASI Integrated System Manual to manage situations where there is a delay of ASI Aluminium due to a Force Majeure situation. The Entity's Material Accounting System

CRITERION	RATING	COMMENT
		is prepared to transfer an Internal Overdraw to the subsequent Material Accounting Period.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity has implemented an ASI Integrated System Manual which documents that the Internal Overdraw must be made up within the subsequent Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	The Entity has defined within its Accounting System to ensure that the transfer of a Positive Balance can be carried forward to the subsequent Material Accounting Period.
8.11b Positive Balance (expiry)	Conformance	The Entity has implemented an ASI Integrated System Manual and Material Accounting System to ensure that the transfer of a Positive Balance carried forward to the subsequent accounting period expires at the end of that period if not withdrawn.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has developed a CoC Document that is sent with all shipments of CoC Material and accompanied by invoices/delivery notes which contain information about the shipment, such as issuing company, recipient, type of product, net weight shipping, date, and reference number.
9.2a Date of issue	Conformance	The Entity has developed a CoC Document that is sent in all shipments of CoC Material and contains information about the shipment and the date of issue of the CoC Document.
9.2b Reference number	Conformance	The Entity has developed a CoC Document that is sent in all shipments of CoC Material and contains the reference number of the CoC Document linked to the Material Accounting System of the Entity for verification purposes.
9.2c Issuing Entity	Conformance	The Entity has developed a CoC Document that is sent with all shipments of CoC Material and contains information about the Entity, including its CoC Certification number.
9.2d Receiving customer	Conformance	The Entity has developed a CoC Document that is sent with all CoC Material and contains information about the shipment, and the address of the customer who will receive the CoC Material.
9.2e Responsible employee	Conformance	The Entity has developed a CoC Document that is sent with all CoC Material and contains the data of the responsible employee of the Entity who can

CRITERION	RATING	COMMENT
		verify the CoC Document information at the final destination.
9.2f Conformance statement	Conformance	The Entity has developed a CoC Document that is sent with all shipments of CoC Material which contains the information: 'The information provided in the CoC Document complies with ASI Certified Metal'.
9.2g Type of CoC Material	Conformance	The Entity has developed a CoC Document that is sent with all shipments of CoC Material which contains the type of CoC Material in the shipment.
9.2h Mass of CoC Material	Conformance	The Entity has developed a CoC Document that is sent with all shipments of CoC Material, which includes the type of CoC Material Mass and Liquid Mass weight.
9.2i Mass of total material	Conformance	The Entity has developed a CoC Document that is sent with all shipments of CoC Material which contains information about the shipment, including the mass of the total material in shipment.
9.3a Sustainability Data (optional)	Conformance	The Entity has determined it will not be providing Sustainability Data in the CoC Document by default and will only make it available when requested and agreed with the receiving Entity.
9.3b Sustainability Data (passing on)	Conformance	The Entity has determined it will not be providing Sustainability Data in the CoC Document by default and will only make it available when requested and agreed with the receiving Entity.
9.3c Post-Casthouse ASI Certification status	Conformance	The Entity has determined it will not be providing Sustainability Data in the CoC Document by default and will only make it available when requested and agreed with the receiving Entity.
9.4 Supplementary Information (optional)	Conformance	The Entity has determined it will not be providing Sustainability Data in the CoC Document by default and will only make it available when requested and agreed with the receiving Entity.
9.5 Response to verification requests	Conformance	The Entity has defined within the ASI Integrated System Manual the process to manage requests for information and verification of information within the CoC Document and invoices issued by the Entity.
9.6 Error management	Conformance	The Entity has defined within its Non-Conformity Treatment Procedure, as part of the ASI Integrated System Manual , the process to correct possible non-conformities after CoC Material or Eligible Scrap has been shipped.

CRITERION	RATING	COMMENT
<b>10 RECEIVING COC DOCUMENTS</b>		
10.1 Verify required information included	Conformance	The Entity has defined a process and has trained employees responsible for verifying the required information in received CoC Documents.
10.2 Verify consistency with shipments	Conformance	The Entity has defined within its ASI Integrated System Manual, a process to verify the CoC Document received with the accompanying CoC Material and/or Eligible Scrap before recording the information in the Material Accounting system.
10.3 Verify supplier CoC Certification status	Conformance	The Entity checks the ASI website regularly 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 management	Conformance	The Entity has defined in the ASI Integrated System Manual, the method for correcting possible non-conformities after receipt of the CoC Material or Eligible Scrap and documenting the non-conformities.
<b>11 MARKET CREDITS SYSTEM: ASI CREDITS</b>		
11.1a Material Accounting System – allocation	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.1c No double counting	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.1d No Positive Balance for ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2a Date of issue	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.

CRITERION	RATING	COMMENT
11.2g Quantity	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3b Material Accounting System – purchasing	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3c Expiry	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3d No re-trading	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3e No allocation to physical products	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This Criterion is not applicable as the Entity does not use the Market Credit System.

## 12 CLAIMS AND COMMUNICATIONS

12.1a ASI Claims Guide	Conformance	The Entity has defined the methodology to ensure that all future claims on CoC Material outside the CoC Documents are made in a manner consistent with the ASI Claims Guide.
12.1b Verifiable evidence	Conformance	The Entity has established procedures to ensure that it keeps verifiable evidence to support the claims and/or representations made.
12.1c Employee training	Conformance	The Entity has defined that appropriate training will be provided for relevant employees to properly understand and communicate claims and/or representations.

### Document Control and Version History

Revision	Date	Notes
0	25 November 2022	Initial Certification Audit – Full Certification
1	23 February 2023	Text amendment – Corrected the Next Audit Type from Re-certification Audit to Surveillance Audit.
2	2 September 2024	Surveillance Audit and Scope Change Scope Change to include the Gravatai facility Correction to the Audit Scope description for the Initial Certification Audit to reflect the sites included in the audit activities. Correction to the Certification Scope to alphabetise the Collection Centre sites and align with the Entity's ASI Performance Standard Certification table. Correction to the incorrect date for Revision 0 in this document control table.