

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# Guangdong Betterlid Packaging Material Co.,Ltd.

CERTIFICATE NUMBER

394

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITING FIRM

SGS-CSTC  
STANDARDS  
TECHNICAL SERVICES

DATE OF ISSUE

20 SEPTEMBER 2024

DATE OF EXPIRY

19 SEPTEMBER 2027

CERTIFIED SINCE

20 SEPTEMBER 2024

## AUTHORISED BY

A handwritten signature in black ink, appearing to be 'J. Ho', 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

Guangdong Betterlid Packaging Material Co.,Ltd. located in Guangdong Province, China, manufactures Aluminium alloy sheet and foil for food packaging. Its main process is Aluminium coil processing, including cleaning, coating, curing, cutting, printing and packing.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Guangdong Betterlid Packaging Material Co.,Ltd.
ENTITY NAME	Guangdong Betterlid Packaging Material Co.,Ltd.
CERTIFICATION SCOPE	Guangdong Betterlid Packaging Material Co.,Ltd located in Guangdong Province, China, manufactures Aluminium alloy sheet and foil for food packaging. Its main process is Aluminium coil processing, including cleaning, coating, curing, cutting, printing and packing.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Material Conversion</li><li>Other manufacturing or sale of products containing Aluminium</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</li></ul>
AUDIT FIRM	SGS-CSTC Standards Technical Services
AUDIT DATE	<ul style="list-style-type: none"><li>12 -13 August 2024</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>4 September 2024</li></ul>
AUDIT SCOPE	<p>The Audit Scope included the manufacturing of Aluminium alloy sheet and Aluminium foil for food packaging at Guangdong Betterlid Packaging Material Co.,Ltd. Its main process is Aluminium coil processing, including Aluminium coil cleaning, coating, curing, cutting, printing and packing in Guangdong Province, P.R. China.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Material Conversion</li><li>Other manufacturing or sale of products containing Aluminium.</li></ul> <p>All applicable Criterion in the ASI Performance Standard were included in the Audit Scope.</p>
AUDIT OUTCOME	Certification
AUDIT METHODOLOGY DECLARATION	<p>The Auditors confirm that:</p> <ul style="list-style-type: none"><li><input checked="" type="checkbox"/> The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.</li><li><input checked="" type="checkbox"/> The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.</li><li><input checked="" type="checkbox"/> 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.</li></ul>

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The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

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CERTIFICATION PERIOD 20 September 2024 – 19 September 2027

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NEXT AUDIT TYPE Surveillance Audit

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NEXT AUDIT DUE DATE 19 September 2025

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CERTIFICATE NUMBER 394

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If you have an inquiry or complaint about this Certification, go to the third-party EthicsPoint portal at: <https://Aluminium-stewardship.ethicspoint.com/>

EthicsPoint is a comprehensive and confidential reporting tool that enables complaints to be securely raised, managed and responded to. This enables anonymity to be maintained where desired by complainants, or as relevant to whistleblowing situations.

Information is available in five languages – English, French, Chinese, German and Portuguese (Brazil). Translation services provided by EthicsPoint enable complaints and correspondence to be managed in multiple languages.

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## ENTITY OVERVIEW

Guangdong Betterlid Packaging Material Co.,Ltd. (the 'Entity') was established in August 2017 with a registered address of No. 12, Fengshan 4th Road, Changlong Industrial Zone, Sijiu Town, Taishan City, Guangdong Province, China. It covers an area of 81,113 square meters.

The Entity produces two categories of Aluminium alloy sheets and foils for food packaging, and mainly sold to manufacturers in Europe, North America, and the Asia-Pacific region. The Entity is located in an industrial zone which was established by the government, and there are no nearby sensitive areas such as Indigenous Peoples, schools, scenic spots, or drinking water source areas.

The main production processes of the Entity include Aluminium coil cleaning, coating, curing, cutting, printing and packaging. The main buildings of the factory include one office building, four factory buildings, and one dormitory building (the first floor is a canteen), with a sewage treatment station, air pressure station, hazardous Waste warehouse, general solid Waste warehouse and other supporting facilities. The Entity also provides sports fields and other recreational facilities in the factory area for the leisure use of employees. The Entity currently has 210 employees, with key stakeholders including shareholders, customers, partners, downstream supply chains and relevant government departments. The activities of the Entity do not affect neighbouring communities and residents.

The Entity has been focusing on the production, processing, research and development of Aluminium packaging materials which are widely used for 'easy-open' ends including Aluminium tabs, screw caps, Maxi-P caps, Aluminium bowls, containers, 'easy peel-off' ends and Aluminium foil products.

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

## FINDINGS

CRITERION	RATING	COMMENT
<b>1. MANAGEMENT SYSTEM AND RESPONSIBILITIES</b>		
1.1 ASI Membership	Conformance	The Entity became an ASI Member in 2023, committing to comply with ASI's membership obligations and the ASI Complaints Mechanism. For more information: <a href="http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf">http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf</a> and <a href="https://Aluminium-stewardship.org/about-asi/members/Guangdong-Betterlid-Packaging-Material-Co--Ltd-">https://Aluminium-stewardship.org/about-asi/members/Guangdong-Betterlid-Packaging-Material-Co--Ltd-</a>
1.2 CoC Management System	Conformance	The Entity has issued the Entity's CoC Management Manual, its CoC Procedures and CoC Operation Specification, which has defined a Management System to address all applicable requirements of the ASI CoC Standard in all Facilities under the control of the Entity that has custody of CoC Material.
1.3 CoC Management System Monitoring	Minor Non-Conformance	The Entity reviews its Management System annually as per its Procedure and addresses potential areas of Non-Conformance. However, the complete management review materials, such as those for the R&D department, could not be provided and did not comply with the relevant management review requirements as per the Entity's Management Procedure.
1.4 Management Representative	Conformance	The Entity has appointed the R&D Department Manager as the Management Representative with full responsibility and authority for the company's compliance with all applicable requirements of the CoC Standard.
1.5 Communications and Training	Conformance	The Entity's CoC Management Manual and Human Resources Control Procedure both define the methods for implementing communications and training measures for the relevant personnel and their responsibilities under the CoC Standard. The Entity has established and implemented an annual training plan that includes knowledge of the CoC Standard.
1.6 Records Management	Conformance	The Entity's CoC Management Manual and the Documented Information Control Procedure have defined its methods of maintaining up-to-date records covering all applicable requirements of the ASI CoC Standard. CoC records are retained for five years.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Not Applicable	The Entity's CoC Management Manual demonstrates that it reports the maximum Positive Balance in the calendar year and carries it over to the subsequent Material Accounting Period. The Entity reports this to the ASI Secretariat within three months after the end of each calendar year. As this is the initial Certification Audit, the Entity has not yet reported to the ASI Secretariat.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Not Applicable	The Entity's CoC Management Manual demonstrates that it reports the maximum Positive Balance in the calendar year and carries it over to the subsequent Material Accounting Period. The Entity reports this to the ASI Secretariat within three months after the end of each calendar year. As this is the initial Certification Audit, the Entity has not yet reported to the ASI Secretariat.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Not Applicable	The Entity's CoC Management Manual demonstrates that it reports the maximum Positive Balance in the calendar year and carries it over to the subsequent Material Accounting Period. The Entity reports this to the ASI Secretariat within three months after the end of each calendar year. As this is the initial Certification Audit, the Entity has not yet reported to the ASI Secretariat.
1.7d Reporting to ASI (Positive Balance carried over)	Not Applicable	The Entity's CoC Management Manual shows that it reports the maximum Positive Balance in the calendar year and carries it over to the subsequent Material Accounting Period. The Entity reports this to the ASI Secretariat within three months after the end of each calendar year. As this is the initial Certification Audit, the Entity has not yet reported to the ASI Secretariat.
1.7e Reporting to ASI (Positive Balance used)	Not Applicable	The Entity does not purchase Post-Consumer Scrap and Pre-Consumer Scrap as Input.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Not Applicable	The Entity has not yet reported information on Internal Overdraw to the ASI Secretariat according to the ASI schedule, as it has not yet received any CoC Material.
1.7g Reporting to ASI (Intra-Entity Flows)	Not Applicable	The Entity has not yet reported information on Intra-Entity Flows to the ASI Secretariat according to the ASI schedule, as it has not yet received any CoC Material.

## 2. OUTSOURCING CONTRACTORS

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

CRITERION	RATING	COMMENT
<b>3. PRIMARY ALUMINIUM: CRITERION FOR ASI BAUXITE, ASI ALUMINA AND ASI ALUMINIUM</b>		
3.1a ASI Bauxite (CoC Certification Scope)	Not Applicable	This Criterion does not apply 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)	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.
<b>4. RECYCLED ALUMINIUM: CRITERION FOR ELIGIBLE SCRAP</b>		
4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

CRITERION	RATING	COMMENT
Recyclable Scrap Material (Financial transactions)		
<b>5. CASTHOUSES: CRITERION FOR ASI ALUMINIUM</b>		
5.1a ASI Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
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.
<b>6. POST-CASTHOUSE: CRITERION FOR ASI ALUMINIUM</b>		
6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity has implemented Procedures and systems to control its production process, ensuring that all Post-Casthouse ASI Aluminium from the facilities included in the Entity's CoC Certificate Scope can be identified.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has developed its CoC Management Manual and Supplier Management Regulations, which ensure that all its Post-Casthouse ASI Aluminium is sourced only from a CoC-Certified Entity. The Entity obtained the ASI PS Certificate number 372 in 2024.
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has developed its CoC Management Manual and Supplier Management Regulations, which ensure that all its Post-Casthouse ASI Aluminium is sourced only from a CoC Certified Entity. To date, no ASI Aluminium has been sourced.
<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 implemented a Compilation of Production and Operation Policies, which address Anti-Corruption requirements from the ASI Performance Standard. The Policy has been communicated to its Aluminium suppliers, and it is available at: <a href="http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf">http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf</a>
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has established the Purchasing Policy according to the ASI Performance Standard, which address the following Criteria: Anti-Corruption, Responsible Sourcing, Human Rights Due Diligence, and Conflict-Affected and High-Risk Areas, which is available at: <a href="http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf">http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf</a>  There have been no corruption cases reported from government agencies and other stakeholders.



CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human Rights due diligence)	Conformance	<p>The Entity has established the Purchasing Policy according to the ASI Performance Standard, which address the following Criteria: Anti-Corruption, Responsible Sourcing, Human Rights Due Diligence, and Conflict-Affected and High-Risk Areas, which is available at: <a href="http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf">http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf</a></p> <p>The Entity commits to respecting Human Rights and aims to extend this commitment to its supply chain. The Human Rights Due Diligence process has been established to address its supply chain.</p>
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	<p>The Entity has established a Conflict-Affected and High-Risk Areas Management Procedure addressing all aspects as mentioned in the Entity's Responsible Sourcing Policy, which is available at: <a href="http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf">http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f95420ca019.pdf</a></p> <p>The Entity has surveyed its related parties and has concluded that its purchasing business does not interact with Conflict-Affected and High-Risk Areas (CAHRAS).</p>
7.2 Risk Assessment and Mitigation	Conformance	<p>The Entity has established a Supplier Assessment Procedure to follow Non-Conformance (if any). Interviews with the purchasing team and sampling of the supplier assessment records confirmed that no risks of adverse impacts have been identified to date.</p>
7.3 Complaints Resolution Mechanism	Conformance	<p>The Entity has established a complaints mechanism appropriate to the business's nature, scale and impact, allowing interested parties to voice concerns about Non-Compliance regarding the Responsible Sourcing Policy in its Aluminium supply chain. The complaints channels included a hotline and mailbox. More information about the Entity's Complaints Mechanism is available at: <a href="http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f94e006df70.pdf">http://www.betterlid.cn/home/6/7/kzom9/resource/2024/03/19/65f94e006df70.pdf</a></p>
<b>8. MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM</b>		
8.1 Material Accounting System	Conformance	<p>The Entity has implemented a Material Accounting System that records the Input and Output Quantities of CoC and Non-CoC Material by mass.</p>
8.2 Material Accounting Period	Conformance	<p>The Entity's Material Accounting System specified a Material Accounting Period for no longer than 12 months.</p>
8.3 Input and Inflow Quantities	Conformance	<p>The Entity has established a Procedure that defines methods to record the quantity of each CoC Material and Eligible Scrap Input, as well as the quantity of Non-CoC Material and Recyclable Scrap Material Inflow to the Certification Scope according to the Material Accounting Period. The Inflow Quantity of Eligible Scrap and Recyclable Scrap Material is based on an assessment of Aluminium content.</p>
8.4 Output Quantities of CoC Material	Conformance	<p>The Entity's CoC Material Accounting System has defined the Output Quantities for CoC Material Management. A system called CoC-MAT is in place, which defines that over the given Material Accounting Period, the Entity shall use the Input Quantities for each CoC Material to determine the available Quantities of CoC Material for Output, proportional to total Inflows of CoC and Non-CoC Materials, by mass.</p>

CRITERION	RATING	COMMENT
8.5 Indivisibility of CoC Material	Conformance	The Entity's CoC Management Manual and CoC Material Accounting System have defined the indivisibility of CoC Material, which may be a subset of the total production, and it is designated 100% CoC Material.
8.6 Output Quantity of Eligible Scrap	Not Applicable	This Criterion is not applicable as the Entity has stated in the CoC Material Accounting Procedure that it does not plan to designate the pre-consumer Waste generated while processing CoC Materials as qualified Waste, so the Entity's Material Accounting System does not involve the Output of qualified Waste.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity has established the BIP System to ensure the total CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage as applied to the total Input of CoC Material and/or Eligible Scrap over the Material Accounting Period.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's CoC Management Manual and CoC Material Accounting System have defined that the Internal Overdraw did not exceed 20% of the total Input Quantity of CoC Material for the Material Accounting Period.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's CoC Management Manual and CoC Material Accounting System define its CoC Management. The Entity purchases alloy ingots only and does not purchase Scrap as Input.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's CoC Management Manual and CoC Material Accounting System define the Internal Overdraw as not exceeding the amount of CoC Material affected by a Force Majeure situation. The Entity's Internal Overdraw amount should be made up within 12 months.
8.9a Positive Balance (Carry over)	Conformance	The Entity has established its CoC Management Manual and CoC Material Accounting System, defining that a Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried out to the subsequent Material Accounting Period. The Entity's Material Accounting System can identify any carryover of a Positive Balance.
8.9b Positive Balance (Expiry)	Conformance	The Entity has established its CoC Management Manual and CoC Material Accounting System, defining that a Positive Balance of Output CoC Material at the end of a Material Accounting Period may be carried over to the subsequent Material Accounting Period. The Entity's CoC Management Manual and CoC Material Accounting System included a Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period, which shall expire at the end of that Period if not drawn down.
<b>9. ISSUING COC DOCUMENTS</b>		
9.1 CoC Document	Conformance	The Entity has developed a Procedure, including a CoC Document form template, which provides the information required by the ASI Chain of Custody Standard.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity has developed a Procedure, including a CoC Document form template, which provides the information required by the ASI Chain of Custody Standard.

CRITERION	RATING	COMMENT
9.2b CoC Document Content (Reference number)	Conformance	The CoC Document Receipt and Issuance Confirmation System defines the document Form. The Form references the number for the CoC Document, which is linked to the Entity's Material Accounting System for verification purposes.
9.2c CoC Document Content (Issuing Entity)	Conformance	The CoC Document Receipt and Issuance Confirmation System defines the CoC Document Form, 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 CoC Document Receipt and Issuance Confirmation System defines the CoC Document Form, which includes the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification number.
9.2e CoC Document Content (Responsible employee)	Conformance	The CoC Document Receipt and Issuance Confirmation System defines the CoC Document Form, including the Entity's responsible employee for verifying the information.
9.2f CoC Document Content (Conformance statement)	Conformance	The CoC Document Receipt and Issuance Confirmation System defines the CoC Document Form, which includes a statement confirming that "The information provided in the CoC Document is in Conformance with the ASI CoC Standard."
9.2g CoC Document Content (Type of CoC Material)	Conformance	The CoC Document Receipt and Issuance Confirmation System defines the CoC Document Form, which includes the type of CoC Material in the shipment.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The CoC Document Receipt and Issuance Confirmation System defines the CoC Document Form, which includes the Mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The CoC Document Receipt and Issuance Confirmation System defines the CoC Document Form, including the Mass of total Material in the shipment.
9.3a Sustainability Data (optional) - Carbon footprint	Not Applicable	The CoC Document Form has fields to include the applicable Sustainability Data required. However, this Criterion is not applicable as the Entity has not yet been required to provide Sustainability Data.
9.3b Sustainability Data (optional) - Origin information	Not Applicable	The CoC Document Form has fields to include the applicable Sustainability Data required. However, this Criterion is not applicable as the Entity has not yet been required to provide Sustainability Data.
9.3c Sustainability Data (optional) - Recycled content	Not Applicable	The CoC Document Form has fields to include the applicable Sustainability Data required. However, this Criterion is not applicable as the Entity has not yet been required to provide Sustainability Data.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Not Applicable	The CoC Document Form has fields to include the applicable Sustainability Data required. However, this Criterion is not applicable as the Entity has not yet been required to provide Sustainability Data.

CRITERION	RATING	COMMENT
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Supplementary Information included can be supported by objective evidence, where needed, which includes ISO Standards, ASI PS Certificates and packing lists.
9.5 Verification of Information	Conformance	The Entity's CoC Management Manual defines that the Entity's Quality Manager is responsible for answering reasonable requests relating to the CoC Documents.
9.6 Error (Shipping)	Conformance	The Entity's CoC Management Manual and Corrective and Preventive Action Procedure have defined corrective action for Non-Conformances, and the relevant personnel is trained on addressing errors such as recalling the CoC documents.
<b>10. RECEIVING COC DOCUMENTS</b>		
10.1 Verification of CoC Documents	Conformance	The Entity's CoC Management Manual and CoC Material Accounting System demonstrate the Process for checking the CoC Documents' Input.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity's CoC Management Manual and CoC Material Accounting System define the CoC document verification processes, which are the responsibility of the quality and warehouse departments. The warehouse and quality personnel are trained and capable of conducting the CoC document verification before storing the ASI CoC Materials.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity's CoC Management Manual and supplier management regulations demonstrate the process of regularly checking the ASI website to verify the validity and scope of any changes in the supplier's ASI CoC Certification.
10.4 Error (Reception)	Conformance	The Entity's CoC Management Manual and Corrective and Preventive Action Procedure have shown that if an error is discovered after CoC Material or Eligible Scrap has been received, the Entity would contact the supplier, recall the CoC Document and modify the ASI Materials.
<b>11. CLAIMS AND COMMUNICATIONS</b>		
11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity has established and documented in its CoC Management Manual that these are made in a manner and form consistent with the ASI Claims Guide.
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity has established and documented in its CoC Management Manual that these are made in a manner and form consistent with the ASI Claims Guide.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has provided training for relevant employees to understand and communicate the claims and/or representations appropriately.

### 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	20 September 2024	Initial Certification Audit – Full Certification

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