

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

## Kobelco Automotive Aluminum Rolled Products (China) Co., Ltd.

CERTIFICATE NUMBER

410

ASI STANDARD

CHAIN OF CUSTODY  
(V2 2022)

CERTIFICATION LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED AUDITING  
FIRM

DNV BUSINESS  
ASSURANCE  
SERVICES UK LTD.

DATE OF ISSUE

1 NOVEMBER 2024

DATE OF EXPIRY

31 OCTOBER 2027

CERTIFIED SINCE

1 NOVEMBER 2024

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

*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

Production and sale of (series 5000  
and 6000) thin automobile  
Aluminium alloy plate and strip at  
Kobelco Automotive Aluminum  
Rolled Products (China) Co., Ltd, a  
wholly owned subsidiary funded by  
the Kobelco Group.

# AUDIT REPORT

## CHAIN OF CUSTODY

### STANDARD

#### OVERVIEW

MEMBER NAME	Kobe Steel, Ltd.
ENTITY NAME	Kobelco Automotive Aluminum Rolled Products (China) Co., Ltd.
CERTIFICATION SCOPE	Production and sale of (series 5000 and 6000) thin automobile Aluminium alloy plate and strip at Kobelco Automotive Aluminum Rolled Products (China) Co., Ltd, a wholly owned subsidiary funded by the Kobelco Group.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Post-Casthouse</li></ul>
ASI STANDARD	Chain of Custody Standard V2
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit</li></ul>
AUDIT FIRM	DNV Business Assurance Services UK Ltd.
AUDIT DATE	<ul style="list-style-type: none"><li>9 – 10 September 2024</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>22 October 2024</li></ul>
AUDIT SCOPE	<p>The Audit Scope covered the Kobelco Automotive Aluminum Rolled Products (China) facility which produces series 5000 and 6000 thin automobile Aluminium alloy plate and strip.</p> <p>Supply chain activities included in the audit scope:</p> <ul style="list-style-type: none"><li>Post-Casthouse</li></ul> <p>All relevant Criteria in the ASI Chain of Custody 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><li><input checked="" type="checkbox"/> The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.</li></ul>
CERTIFICATION PERIOD	1 November 2024 – 31 October 2027

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NEXT AUDIT TYPE                      Surveillance Audit

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NEXT AUDIT DUE DATE                1 November 2026

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CERTIFICATE NUMBER                 410

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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

Kobelco Automotive Aluminum Rolled Products (China) Co., Ltd, (the 'Entity') is funded by Kobelco Group and is a wholly owned subsidiary. The factory focuses on production and sale of (series 5000 and 6000) thin automobile Aluminium alloy plate and strip. The main production process includes Continuous Annealing process, Surface Treatment process, Slitter and Slitting process. The raw material is Aluminium cold-rolled coil imported from Korea and Japan. No smelting and casting process in this facility. The Entity is a processing company specializing in automotive aluminium sheets, with primary production processes involving aluminium sheet heat treatment, surface cleaning and cutting, no casting process in this facility. All aluminium sheet raw materials are sourced from its parent company's ASI PS/CoC-certified facilities.

## 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>	Medium
<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 a subsidiary of KOBE STEEL Co., Ltd. in China and is committed to complying with ASI's membership obligations and complaint mechanisms as an ASI member. More information can be accessed at: <a href="https://aluminium-stewardship.org/about-asi/members/Kobe-Steel-Ltd-">https://aluminium-stewardship.org/about-asi/members/Kobe-Steel-Ltd-</a>
1.2 CoC Management System	Conformance	The Entity has established Policies, systems, procedures and processes that conform with all criteria regarding the CoC Management System. The Management System has the capacity to manage ASI CoC Material. The Entity has an integrated management system implemented in accordance with IATF16949. The Entity's IATF16949 certificate is valid for the Certification Period.
1.3 CoC Management System Monitoring	Conformance	The Entity has established mechanisms for the periodic review of the Management System to assess the effectiveness of the management of ASI CoC and to address potential areas of Non-Conformance and improvement. The most recent management review was conducted in August 2024.
1.4 Management Representative	Conformance	The Entity has appointed a member of management as the responsible person for the implementation of the ASI Chain of Custody Standard and has defined roles and responsibilities for the management of the Chain of Custody system.
1.5 Communications and Training	Conformance	Based on the Quality Management System, the Entity has established and implemented an internal training management process that covers the training procedures and content related to ASI CoC requirements. In terms of ASI CoC requirements, the training is divided into two categories: 1. basic knowledge training on ASI for new employees, and 2. specialised training for specific positions such as those in the procurement, sales, and production departments involved in CoC Material management. This is undertaken to ensure that relevant personnel understand and are competent in fulfilling the responsibilities specified in the ASI Chain of Custody standard. The training plan, training materials and training records are available.
1.6 Records Management	Conformance	The Entity maintains up-to-date records and defines the retention period as required by the ASI Chain of Custody Standard in accordance with the management procedure.
1.7a Reporting to ASI (Inputs and Outputs of CoC Material)	Conformance	The Entity's ASI CoC Management Manual (Article 1.4.1) specifies that the Entity will report the required information on CoC Material to the ASI Secretariat within six months after the end of each calendar year.
1.7b Reporting to ASI (Inputs and Outputs of Eligible Scrap)	Conformance	The Entity's ASI CoC Management Manual (Article 1.4.1) specifies that the Entity will report the required information on CoC Material to the ASI Secretariat within six months after the end of each calendar year.
1.7c Reporting to ASI (Inflows and Outflows of Non-CoC Material)	Conformance	The Entity's ASI CoC Management Manual (Article 1.4.1) specifies that the Entity will report the required information on CoC Material to the ASI Secretariat within six months after the end of each calendar year.

CRITERION	RATING	COMMENT
1.7d Reporting to ASI (Positive Balance carried over)	Conformance	The Entity's ASI CoC Management Manual (Article 1.4.1) specifies that the Entity will report the required information on CoC Material to the ASI Secretariat within six months after the end of each calendar year.
1.7e Reporting to ASI (Positive Balance used)	Conformance	The Entity's ASI CoC Management Manual (Article 1.4.1) specifies that the Entity will report the required information on CoC Material to the ASI Secretariat within six months after the end of each calendar year.
1.7f Reporting to ASI (Internal Overdraw drawn down)	Conformance	The Entity's ASI CoC Management Manual (Article 1.4.1) specifies that the Entity will report the required information on CoC Material to the ASI Secretariat within six months after the end of each calendar year.
1.7g Reporting to ASI (Intra-Entity Flows)	Conformance	The Entity's ASI CoC Management Manual (Article 1.4.1) specifies that the Entity will report the required information on CoC Material to the ASI Secretariat within six months after the end of each calendar year.

## 2. OUTSOURCING CONTRACTORS

2.1 Certification Scope	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors within the Entity's Certification Scope for further processing, treatment, or manufacturing.
2.2a Control of CoC Material (Legal ownership or control)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors within the Entity's Certification Scope for further processing, treatment, or manufacturing.
2.2b Control of CoC Material (No further outsourcing)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors within the Entity's Certification Scope for further processing, treatment, or manufacturing.
2.2c Control of CoC Material (Risk assessment)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors within the Entity's Certification Scope for further processing, treatment, or manufacturing.
2.3 Information on Quantity of CoC Material Output and Returned	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors within the Entity's Certification Scope for further processing, treatment, or manufacturing.
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 use Outsourcing Contractors within the Entity's Certification Scope for further processing, treatment, or manufacturing.
2.5 Error (Outsourcing Contractor)	Not Applicable	This Criterion is not applicable as the Entity does not use Outsourcing Contractors within the Entity's Certification Scope for further processing, treatment, or manufacturing.

## 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.
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CRITERION	RATING	COMMENT
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.

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

4.1a Recycled Aluminium (CoC Certification Scope)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.1b Recycled Aluminium (Performance Standard)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2a Eligible Scrap (Pre-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2b Eligible Scrap (Post-Consumer)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.2c Eligible Scrap (Dross)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3a Records Management for Direct Suppliers of Recyclable Scrap Material (Suppliers)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
4.3b Records Management for Direct Suppliers of Recyclable Scrap Material (Financial transactions)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.

#### 5. CASTHOUSES: CRITERIA FOR ASI ALUMINIUM

CRITERION	RATING	COMMENT
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.

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

6.1a Post-Casthouse ASI Aluminium (CoC Certification Scope)	Conformance	The Entity's system ensures production of ASI Aluminium is only from the Facilities that are within the Entity's CoC Certification Scope. At present, the Entity only purchases raw materials from two factories under its parent company, both of which have obtained ASI Performance and CoC Certification.
6.1b Post-Casthouse ASI Aluminium (Performance Standard)	Conformance	The Entity has a system in place to ensure that it produces ASI Aluminium only from the Entity certified against the ASI Performance Standard. The Entity has obtained ASI Performance Standard certification, and the current certificate is valid until November 2026. Further information about the certificate can be found at: <a href="https://aluminium-stewardship.org/wp-content/uploads/2024/02/ASI-Audit-Report-Kobelco-Automotive-Aluminum-Rolled-Products-China-Co.-Ltd-Certificate-340-PS.pdf">https://aluminium-stewardship.org/wp-content/uploads/2024/02/ASI-Audit-Report-Kobelco-Automotive-Aluminum-Rolled-Products-China-Co.-Ltd-Certificate-340-PS.pdf</a>
6.1c Post-Casthouse ASI Aluminium (Aluminium sourcing)	Conformance	The Entity has established management procedures to ensure that all ASI Aluminium procurement originates from ASI CoC-certified Entities. Currently, the Entity's raw material purchases are sourced only from the two CoC Certified factories under its parent company. Additionally, the Entity commits to ensuring that any future procurement through Traders will also require ASI Aluminium to originate from ASI CoC Certified Entities, with suppliers being required to provide CoC documentation.

## 7. DUE DILIGENCE FOR NON-COC MATERIAL, COC MATERIAL ACQUIRED THROUGH A TRADER AND RECYCLABLE SCRAP MATERIAL

7.1a Responsible Sourcing Policy (Anti-corruption)	Conformance	The Entity has developed a 'Basic CSR Procurement Policy' that includes anti-Corruption. A copy of the Policy can be accessed on the Entity's website at: <a href="https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/01.CSR_.pdf">https://www.kobelco-aluminum.com/wp-content/uploads/2023/07/01.CSR_.pdf</a> Currently, the Entity's main raw materials are all sourced from ASI Certified Entities. Additionally, the Entity's procurement department has communicated the relevant requirements of the Policy to other auxiliary materials vendors such as packaging materials suppliers and on-site service providers.
7.1b Responsible Sourcing Policy (Responsible sourcing)	Conformance	The Entity has developed a 'Basic CSR Procurement Policy' that includes responsible sourcing. A copy of the Policy is disclosed on the Entity's website. Additionally, the Entity's procurement department has communicated the relevant requirements of the Policy to other auxiliary materials vendors and on-site service providers.



CRITERION	RATING	COMMENT
7.1c Responsible Sourcing Policy (Human Rights due diligence)	Conformance	The Entity has developed a 'Basic CSR Procurement Policy' that includes Human Rights. A copy of the Policy is disclosed on the Entity's website. Additionally, the Entity's procurement department has communicated the relevant requirements of the Policy to other auxiliary materials vendors and on-site service providers.
7.1d Responsible Sourcing Policy (Conflict-affected and high-risk areas)	Conformance	The Entity has developed a 'Basic CSR Procurement Policy' that includes Conflict-affected and High-Risk Areas. A copy of the Policy is disclosed on the Entity's website. Additionally, the Entity's procurement department has communicated the relevant requirements of the Policy to other auxiliary materials vendors and on-site service providers.
7.2 Risk Assessment and Mitigation	Conformance	The Entity has communicated its Responsible Sourcing Policy in line with the ASI Performance Standard. The procurement department and others involved have been trained to conduct supplier social responsibility audits. The Entity currently sources all of its raw materials from ASI Certified Entities and has identified key suppliers of other auxiliary materials and conducted social responsibility audits of these suppliers. The Entity has requested suppliers to rectify any non-compliance issues discovered during the Due Diligence process to mitigate social responsibility risks within the supply chain.
7.3 Complaints Resolution Mechanism	Conformance	The Entity has established a mechanism to address complaints and concerns related to ASI, related information can be accessed at: <a href="https://www.kobelco-hd.com/contact/">https://www.kobelco-hd.com/contact/</a>

## 8. MATERIAL ACCOUNTING SYSTEM: COC MATERIAL AND ASI ALUMINIUM

8.1 Material Accounting System	Conformance	The Entity establishes a Material Accounting System that can record Input and Output Quantity of CoC Material/ Eligible Scrap and Non-CoC Material/Scrap by mass. At the time of this Audit, there is no ASI material available in the Entity's supply chain, the simulation case shows the system conforms to ASI CoC requirements.
8.2 Material Accounting Period	Conformance	As per the Entity's Chain of Custody Management Manual, the Material Accounting Period is defined as a calendar year: from January 1 to December 31.
8.3 Input and Inflow Quantities	Conformance	The Entity will record the quantities of each CoC Material and Non-CoC Material Inflow, no Eligible Scrap and Recyclable Scrap Material is used in this facility. At the time of this Audit, there is no ASI material available in the Entity's supply chain.
8.4 Output Quantities of CoC Material	Conformance	In the Entity's Material Accounting System, the available Quantities of CoC Material for Output will be determined by the Input quantities for each CoC Material proportional to the total Inflows of CoC and Non-CoC Material by mass.
8.5 Indivisibility of CoC Material	Conformance	The Entity's Chain of Custody Management Manual defines the Output Quantity of CoC Material, which may be a subset of total production, shall be designated as 100% CoC Material.

CRITERION	RATING	COMMENT
8.6 Output Quantity of Eligible Scrap	Conformance	The Entity's Chain of Custody Management Manual designates the relevant proportion of Scrap generated in the production processes as Eligible Scrap using the same percentage share as for its Output of ASI Aluminium.
8.7 Consistency Between Input Percentage and Total Output	Conformance	The Entity's Chain of Custody Management Manual designates that the total Output of CoC Material and/or Eligible Scrap does not proportionally exceed the Input Percentage of CoC Material over the Material Accounting Period. The stimulation case demonstrates that the Entity understands and follows the requirement.
8.8a Internal Overdraw (Not exceed 20%)	Conformance	The Entity's Chain of Custody Management Manual designates that the Internal Overdraw shall not exceed 20% of total the Input Quantity of CoC Material for the Material Accounting Period in the case that the Internal Overdraw has to be made.
8.8b Internal Overdraw (Not exceed force majeure situation)	Conformance	The Entity's Chain of Custody Management Manual designates that an Internal Overdraw is only permitted when CoC Material has been contracted to be delivered to the Entity, however, a Force Majeure situation has prevented timely delivery and the Internal Overdraw shall not exceed the amount of CoC Material affected by a Force Majeure situation.
8.8c Internal Overdraw (Made up within subsequent Material Accounting Period)	Conformance	The Entity's Chain of Custody Management Manual designates that the Internal Overdraw shall be made up within the subsequent Material Accounting Period.
8.9a Positive Balance (Carry over)	Conformance	The Entity's Chain of Custody Management Manual designates that the carryover of a Positive Balance shall be clearly identified in the Entity's Material Accounting System.
8.9b Positive Balance (Expiry)	Conformance	The Entity's Chain of Custody Management Manual designates the Positive Balance generated in one Material Accounting Period and carried over to the subsequent Material Accounting Period shall expire at the end of that Period if not drawn down.

## 9. ISSUING COC DOCUMENTS

9.1 CoC Document	Conformance	The Entity intends to use the CoC Document template defined in the ASI Chain of Custody Standard to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders.
9.2a CoC Document Content (Date of issue)	Conformance	The Entity intends to use the CoC Document template to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, including the Date of issue.
9.2b CoC Document Content (Reference number)	Conformance	The Entity intends to use the CoC Document template to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, including a Reference number.

CRITERION	RATING	COMMENT
9.2c CoC Document Content (Issuing Entity)	Conformance	The Entity intends to use the CoC Document template to accompany each shipment or transfer of CoC Material dispatched to other CoC Certified Entities or Traders, including the issuing Entity.
9.2d CoC Document Content (Receiving customer)	Conformance	The Entity will issue the CoC Document for each lot of material/product, and shall include the receiving customer and its CoC certification number if it is certified against the ASI CoC Standard.
9.2e CoC Document Content (Responsible employee)	Conformance	The Entity's Chain of Custody Management Manual has defined that the sales representative is responsible for verifying the information in the CoC Documents and for signing them.
9.2f CoC Document Content (Conformance statement)	Conformance	The Entity's Chain of Custody Management Manual defines that if the customer requires to issue the CoC Document in its own format, the Entity shall follow the requirement. If not, the Entity shall issue the CoC Document for each lot of material/product using the CoC Document template defined in the ASI Chain of Custody Standard. Both forms shall include the Conformance Statement: 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 Entity will issue a CoC Document for each lot of material/product and shall include the type of CoC Material.
9.2h CoC Document Content (Mass of CoC Material)	Conformance	The Entity will issue a CoC Document for each lot of material/product and shall include the Mass of CoC Material in the shipment.
9.2i CoC Document Content (Mass of total material)	Conformance	The Entity will issue a CoC document for each lot of material/product and shall include the Mass of total Material.
9.3a Sustainability Data (optional) - Carbon footprint	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will not provide the Sustainability Data by default. If requested by the customer, the EHS Department will provide the customer with the Life Cycle Assessment Report.
9.3b Sustainability Data (optional) - Origin information	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will not provide the Sustainability Data by default. If requested by the customer, the EHS Department will share the Origin information with the customer.
9.3c Sustainability Data (optional) - Recycled content	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will not provide the Sustainability Data by default. If requested by the customer, the EHS Department will provide the customer with the information relating to recycled content.
9.3d Sustainability Data (optional) - Post-Casthouse ASI Certification status	Conformance	According to the Entity's Chain of Custody Management Manual, the Entity will not provide the Sustainability Data by default. If requested by the customer, the EHS Department will provide the customer with information on the Post-Casthouse ASI Certification status.

CRITERION	RATING	COMMENT
9.4 Supplementary Information (optional) - Objective evidence	Conformance	The Entity will not provide the Sustainability Data by default. If requested by the customer, the EHS Department will provide the customer with the Objective Evidence to support the Supplementary Information.
9.5 Verification of Information	Minor Non-Conformance	The Entity defines the responsibility and the process to respond to the requests for verification of information in CoC Documents issued by the Entity. However, the Entity has not provided contact information, such as email addresses or hotline numbers, in the CoC Document for Stakeholders to submit verification requests.
9.6 Error (Shipping)	Conformance	Integrated with its ISO 9001 Quality Management System, the Entity has a process to record the errors, analyse the root cause, and develop an associated correction action to prevent any reoccurrence.

## 10. RECEIVING COC DOCUMENTS

10.1 Verification of CoC Documents	Conformance	The Entity has established incoming material inspection control procedures that explicitly require the purchasing department and the QC department to verify the information in the CoC Document, including the quantity of incoming materials and the CoC Certificate Number, during the inspection of CoC Material. The relevant requirements have been communicated to the personnel in the purchasing and QC departments, and these individuals have indicated their awareness of these requirements and their commitment to undertaking the verification in accordance with the Entity's procedures.
10.2 Verification of Consistency Between CoC Documents and CoC Material	Conformance	The Entity has established incoming material inspection control procedures that explicitly require the purchasing department and the incoming material inspection department to verify the consistency of information stated in the CoC Document with the incoming CoC Material during the inspection process. This verification includes important information such as the quantity of CoC Material and Certificate numbers. Interviews with personnel from the purchasing department and the incoming Material inspection department indicate that they are fully aware of the requirements of the procedure and can conduct CoC Document verification as specified.
10.3 Verification of Supplier's ASI CoC Certification	Conformance	The Entity will implement the developed process to verify the supplier CoC Certification Status via: <a href="https://aluminium-stewardship.org/about-asi/asi-member-listing">https://aluminium-stewardship.org/about-asi/asi-member-listing</a>
10.4 Error (Reception)	Conformance	The Entity has a process to record errors, provide feedback to the supplier and require them to take the associated correction action to prevent any reoccurrence.

## 11. CLAIMS AND COMMUNICATIONS

11.1a Claims and Communications (ASI Claims Guide)	Conformance	The Entity's ASI CoC Management Manual defines all claims and communications shall follow the ASI Claims Guide including communication with the ASI Secretariat, and the relevant roles and responsibilities are defined. At the time of the Audit, there were no examples of effective implementation of the system as no ASI CoC Material is available within the Entity's supply chain.
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CRITERION	RATING	COMMENT
11.1b Claims and Communications (Verifiable evidence)	Conformance	The Entity assigns roles and responsibilities to ensure that claims are made in a manner consistent with the ASI Claims Guide. At the time of the Audit, there were no examples of effective implementation of the system as no ASI CoC Material is available within the Entity's supply chain.
11.1c Claims and Communications (Employee training)	Conformance	The Entity has established an 'Information Exchange Control Procedure' where the sales department is responsible for external information communication, including making declarations and statements regarding CoC Material. Through the distribution of procedural documents and training sessions, the relevant personnel have been made aware of, and understand the requirements regarding CoC Material declarations and statements.

#### 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	1 November 2024	Initial Certification Audit – Full Certification